DOCUMENT RESUME

ED 092 098 IR 000 656

TITLE	Evaluation of the University of Tennessee/Knoxville Library. Based on the Library Management Review and Analysis Program of the Association of Research Libraries. September 1, 1972--May 31, 1973.
INSTITUTION	Tennessee Univ., Knoxville. Univ. Libraries.
PUB DATE	31 May 73
NOTE	145p.
EDRS PRICE	MF-$0.75 HC-$6.60 PLUS POSTAGE
DESCRIPTORS	Administration; *Administrative Organization; Administrative Policy; Budgeting; Evaluation; Librarians; Library Instruction; *Library Planning; *Management; Objectives; Organizational Change; Personnel; Policy; Policy Formation; Research Libraries; *University Libraries
IDENTIFIERS	*University of Tennessee

ABSTRACT

Forty-five staff members cooperated with the Association of Research Libraries Management Review and Analysis study at the University of Tennessee/Knoxville (UTK) Library, to determine the effectiveness of present practices and ways to improve services and reduce costs. The report contains introductory chapters on the history, organization, and structure of UTK and its library; the methods of study and UTK trends to be considered; and processes for establishing objectives and goals as well as some specific written objectives. There follow the reports of the several teams on planning, policies, budget, management information flow, organization, supervision, staff development, personnel, and staff interaction. There are hundreds of specific recommendations, including those for long range planning, written policies, new budget formulas, improved information flow, changes in organization of library and staff (with organization charts), increased library instruction, opportunities for professional growth and advancement, and suggestions for more library involvement in university policy, administration, and other activities. Minutes of administration meetings concerning the study are appended, along with the library administration's responses to the recommendations. (LS)

ED 092098

EVALUATION OF THE UNIVERSITY OF TENNESSEE/KNOXVILLE LIBRARY

Based on the Library Management Review and Analysis Program of the Association of Research Libraries

September 1, 1972 - May 31, 1973

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION
THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

Library
The University of Tennessee
Knoxville 37916
May 31, 1973

IR 000 656

INTRODUCTION

The University of Tennessee Library's decision to accept an invitation to participate in the Association of Research Libraries Library Management Review and Analysis Program was based on its desire to evaluate present management policies, activities, and results in order to determine their effectiveness and efficiency. By identifying specific loci of operational problems, it is hoped that the management analysis will lead the library toward modification in operations that will facilitate improvement of user service programs, resource development, and reduction in the related costs.

In his charge to the Management Study Team, the Director of Libraries asked that all areas of the library and its environment be examined. He stressed that this analysis is not to be considered an end in itself; rather, it is to be thought of as a framework for continuous future planning. He directed the Team to involve all segments of library staff as well as representative students and faculty to insure breadth and depth of participation. The resultant set of recommendations was to be concerned with planning, policy, budgeting, management information, organization, leadership and supervision, staff development, and personnel.

The study has witnessed a heightening of interest for the 45 participants and, hopefully, the remainder of the staff in the management issues facing a library organization. The intent of the following report and recommendations is not only to provide a list of recommendations to solve specific management problems facing the University of Tennessee/Knoxville Libraries, but also to identify management issues within the library system and to provide a framework and recommended guidelines for the ultimate resolution of these issues.

The Study Team itself hopes that the University of Tennessee Library's participation in this program will enable the ARL Management Study Office to refine its methodology and procedures so that other libraries may benefit from future management review and analysis.

TABLE OF CONTENTS

	Page
INTRODUCTION	
CHAPTER I	1
CHAPTER II	5
CHAPTER III	13
CHAPTER IV	
Planning Task Force Report	22
Study Team Reaction to the Planning Task Force Report	27
Policies Task Force Report	29
Study Team Reaction to the Policies Task Force Report	32
Budgeting Task Force Report	34
Study Team Reaction to the Budgeting Task Force Report	41
Management Information Task Force Report	42
Study Team Reaction to the Management Information Task Force Report	47
CHAPTER V	
Organization Task Force Report	49
Study Team Reaction to the Organization Task Force Report	61
Organizational Charts Showing Proposed Reorganization of UTK Libraries	63
Leadership & Supervision Task Force Report	72
Study Team Reaction to the Leadership & Supervision Task Force Report	77
Staff Development Task Force Report	79
Study Team Reaction to the Staff Development Task Force Report	84
CHAPTER VI	
Personnel Task Force Report	86
Study Team Reaction to the Personnel Task Force Report	90
Management Generally Task Force Report	94
Study Team Reaction to the Management Generally Task Force Report	97

CHAPTER I

On September 10, 1794, three years after the village of Knoxville was established as a town, the Territorial Assembly of the United States South of the River Ohio incorporated Blount College, the forerunner of the University of Tennessee. Little is known of the institution, let alone its library, if indeed it had one, in the early stages of its history. A now-lost manuscript book is recorded as having listed opposite students' names, "Books borrowed or hired."

When the State of Tennessee (which had been admitted into the Union in 1796, two years after the founding of Blount College) made Blount College a grant of federal public lands in 1807, the funds and property of the College were transferred to a new institution which was called East Tennessee College. It survived long periods of great financial insecurity. One of the earliest mentions of its library facilities was made in a March, 1827 newspaper. The Board of Trustees had published "a public exhibition of some of the prospects of the institution" in which it announced that efforts were being made to procure a library, but that the private library of one of the professors would suffice in the meantime. The Rev. Dr. Charles Coffin, a Harvard graduate, was President of the College at this time. He traveled to New Orleans, among other places, seeking funds for the library, and was reported to have deplored the lack of books for the library which would tend to leave "our sons, our future fathers, sovereigns and legislators of the land, in a state, either of gross ignorance, or of half scholarship." Thus, as early as 1831, the central importance of the library to education was perceived by the chief administrator of the College and, it might be noted, the difficulty of obtaining funds for this facility. Of further interest is the fact that students, in addition to pursuing the Harvard and Yale oriented classical curricula, were given the option of studying "Greek Testament or Hebrew or French language." The first catalog, published in 1838, records that courses were offered in classical languages and literature, mathematics, English grammar, geography, natural philosophy, chemistry, geology, astronomy, logic, history, theology and political economy. The same catalog lists among estimated expenses per session (semester) a Library tax, or expense for books, of fifty cents per student. The 1839 catalog boasts that the College Library contained "about 3000 well-selected Volumes." Also at this time, the Rev. W. J. Keith of the Department of Ancient Languages was assigned the duties of Librarian.

To enable the College's Trustees to support professional learning, in particular to confer medical degrees, in 1840 the state legislature legally changed the name of East Tennessee College to East Tennessee University. The histories of the University during this period note some of the details

of book circulation (two at a time for two weeks), fines (12½ cents per volume for each week overdue), and finances. Donations had for many years been the Library's sole means of support. In 1853, however, the Board of Trustees appropriated $100 for collection development.

The Civil War and the occupation by Federal troops caused considerable damage to the University and the Library. When seeking compensation from the Government for these damages in 1872, the authorities noted that the Library had been destroyed. Luckily, some members of the Board of Trustees had been able to preserve most of the University records and a small portion of the book collection. By 1878, with the aid of a donation from the City of Knoxville, the Library had grown to about 2600 volumes.

The Morill Act of 1862 enabled the University to obtain a land grant for agricultural and mechanical arts education. Along with this donation went the obligation of establishing a military department.

In an attempt to eliminate regional control of the University by East Tennesseans, the State Legislature in 1879 changed the name of the school to The University of Tennessee. It was not until 1903, however, that the State made its first contribution to its namesake university -- a $10,000 grant for the purchase of additional farm land. And, it was not until after Brown Ayers had become President of the University that the State recognized its obligation to provide annual financial support to the University which bears its name.

Charles W. Dabney, Jr., President of the University from 1887-1904, succeeded after many years in persuading Andrew Carnegie to donate monies for the construction of a new library. Dabney envisaged the UT Library as a central circulation facility with traveling collections to serve the entire state. Although this system failed to be established, Carnegie did pledge $40,000 for a library building. Not until 1909, however, was the University able to match these funds with a similar amount for maintenance, thus meeting Carnegie's terms. He in turn then made his donation available, and in 1911, the $54,000 Carnegie Library was completed. Now a part of the Austin Peay Memorial Administration Building, it was outgrown in twenty years. In 1931 its collections were transferred to a new building across the street from the old one. Named after James D. Hoskins, it remains the Main library facility on the Knoxville campus.

From its beginnings as a small liberal arts college through its transition to state university and land-grant college to its present-day role as a complex institution committed to education based on instruction, research, and service, The University of Tennessee/Knoxville stands as the capstone of state public education. As such it endeavors to "establish standards and render advice in all ways conducive to the best interests of public education and the public welfare." As the University has grown and adapted to the changing requirements

of society, so also its Library has attempted to serve those changing needs. It has not always been empowered to do so to its greatest potential. In 1924, the Carnegie Library had 50,000 volumes compared to 85,000 at the University of South Carolina. Virginia, Vanderbilt, and North Carolina far exceeded these figures. In the early years during the Depression no books were bought. In 1939 its collections, including those at Martin and Memphis, totaled about 193,000. It is interesting to note that the Library reported a circulation that year of 255,284 and 3549 reference questions answered.

The University of Tennessee/Knoxville through its various colleges and schools offers Master's degrees in over 100 disciplines and Doctoral degrees in over 50. Yet, unlike many schools its size, Tennessee is predominantly an undergraduate institution. Entering freshmen may, in addition to the traditional liberal arts and sciences curriculum, pursue courses leading to degrees in Agriculture, Architecture, Communications, Home Economics, Engineering, Education, Health, Physical Education and Recreation, and Nursing. The enrollment figures for different individuals from Summer 1970 to Spring 1971 were 30,946. It is presently estimated that enrollment for any one quarter is leveling off to about 24,000 (approximately 5,000 graduate students). The faculty is made up of some 1,800 instructional officers including teaching assistants.

The Deans and Directors are responsible for the administration of their respective areas and are ultimately responsible to the Chancellor of the Knoxville campus. He reports to the President of The University of Tennessee system who in turn is responsible to a Board of Trustees. The entire system is financed by legislative appropriation upon the advice and recommendation of the Tennessee Higher Education Commission which sets funding formulae for the various programs and campuses of the system. Decision-making is slowly, but increasingly, being made through formal structures and in the "management by objective" fashion with increasing student and faculty participation. University governance has been a subject of concern in the last two years. Greater faculty decision-making is to be expected from the reorganization of the University Senate into a Faculty Senate with fewer administrative members and a wider scope of issues for consideration.

The UTK campus has a value of about $135,320,000 and extends over 175 acres. Major building projects approved include a Life Sciences building, Administrative building, a parking garage, a Nursing building and a facility for Student Health Services. A Business Administration building is now under construction. Other expected building plans call for a new Art/Architecture building and a Main Library.

The University of Tennessee/Knoxville receives most of its funds from the State Legislature. In fiscal year 1971-72 the Legislature funded the UTK budget at 75% of the proposed fiscal year 1972-73 THEC formula. The Library requested a budget of $2,246,553 for fiscal year 1971-72; it was funded at only $1,822,000, 57% of the fiscal year 1972-73 proposed THEC formula. Fiscal

year 1972-73 saw an increase of the Library budget from $1,822,000 to $2,135,660. This level of funding brought UTK Libraries to approximately 68% of THEC funding and closed the gap to within seven percentage points of the rest of the campus.

In the future, Tennessee, despite its apparent wealth in this era of belt-tightening, will be subject to the same influences, trends and pressures which beset all institutions of higher education. The full THEC formula will probably be accepted in the next few years, but more important is the way in which UTK manages to re-shape that formula to fit its needs in performing its role as the comprehensive state university and the state's premier research institution.

The Library system at UTK comprises a Main Library and seven branches: Agriculture, Biology, Engineering, Law, Music, Science, and Undergraduate. Its staff consists of 46 faculty and 118 non-academic staff members. Its administration is in the hands of a Director of Libraries and two Associate Directors. Heads of Departments meet with the Library Administration monthly to advise and provide input for policy and program decision-making. Additionally, the Director is advised by a Faculty Senate Library Advisory Committee which includes student representation.

The Director reports directly to the Vice-Chancellor for Academic Affairs and confers frequently, not only with other Deans and Directors, but also with other administrative officers, including the Chancellor. He is not yet, as was recommended by the Visiting Committee of the Southern Association of Colleges and Schools, a member of the Graduate Council.

A few librarians serve on campus-wide committees and efforts are being made to encourage the appointment of library faculty to a greater number of these bodies, especially the curriculum committees. The newly appointed Committee on Committees includes a librarian for the first time; this situation should favorably influence the previous unbalance.

The Library collections numbered 1,077,995 as of June 30, 1972, clearly inadequate holdings for an institution committed to support over 50 doctoral and 100 masters' programs as well as faculty research. Even programs in the humanistic and historical studies are not adequately supported by the Library's collections, let alone those in new programs such as urban planning and nursing.

Faculty and student response to library service has been positive, given understandable dissatisfaction with the overcrowded, uncomfortable environment of the Main Library. With the possibility of a new main building and combined library facilities for Science, Engineering, and Biology that response might become more enthusiastic.

CHAPTER II

During Phase II, the study team attempted to gain an understanding of the environment in which UTK Libraries operate. While most of the study is aimed at internal factors, this phase examined external factors or trends which have implications for libraries generally, and specific local trends and their implications for UTK Libraries.

The study team followed the procedure as outlined in the ARL manual. Robert Koester volunteered to draft a chapter containing an historical review of the University of Tennessee/Knoxville, the development of the UTK Libraries, and the current activities and relationships of the library to the University. The study team felt that this history would serve better as an introductory device separated from Phase II. It was, in fact, decided to entitle it Chapter I.

The study team reviewed the trends for higher education as outlined in Exhibit I, Phase II of the Manual, discussed the implications for library management and reached conclusions on the implications for UTK Libraries. This took much longer than the two (2) one and one-half sessions suggested in the manual. In addition to trends listed in the manual, the study team members brought out other trends as evidenced by their experience and reading. Director Richard Boss met with the study team to point out trends and implications which he felt were of particular importance or merit to UTK Libraries.

After reaching conclusions on the implications for UTK Libraries, the study team members interviewed heads of departments and branch librarians in order to develop a list of issues and concerns of each organizational unit of the library.

Although the MRAP manual did not call for it, the study team extracted from Exhibit I the eight major trends having the greatest implications for UTK Libraries. (See Attachment A). Had this list been available to each head being interviewed, the results might have been more comparable. The most far reaching of these trends is the growing financial crisis facing American universities, The University of Tennessee/Knoxville, and hence the UTK Libraries. The UTK Libraries have not faced a curtailment of budget in the last two fiscal years. It has, however, been faced with rapidly increasing library costs and the University's continued increase in programs. The decreasing emphasis on higher education in the State of Tennessee has resulted in funds being made available for UTK at a reduced rate of growth in recent years. The development by the Tennessee Higher Education Commission of formulae for funding state institutions has also influenced funding levels for UTK. The implication for UTK

Libraries is that the library administration must maximize its efforts to gain a greater share of the dollar made available to the University. During Fiscal Year 71/72, UTK on the average was funded at approximately 76% of the THEC formula. The UTK Libraries were funded at 57.6% of the formula. The library administration must take steps to achieve parity with the rest of the campus in regard to formula funding and must impress upon the University administration and the Tennessee Higher Education Commission the differences inherent in maintaining a research library as opposed to the requirements of a four-year college library. Another implication is that the library administration might do more through the University Development Office in the generation of gift funds in an attempt to expand financing sources.

Interviews revealed that a number of steps have already been taken to obtain maximum cost effectiveness at UTK Libraries. Breakthroughs have been made in binding costs, supply costs, equipment costs and services, but much more can be done especially be developing staffing patterns to allow the highest skills of staff members to be used fully and by providing leadership and supervision that help ensure high productivity. Those interviewed are conscious of the rapidly increasing library costs. The rate of inflation is especially high for serial publications and law materials. Furniture and equipment costs are up 50% in the last four years and costs for remodeling and painting have increased 50% in the last two years. In addition to crowded conditions at the Main Library, the Agriculture, Biology, Engineering and Science Libraries are already crowded, and increased enrollment in the College of Law will make space an issue at the Law Library in the next five-ten years. Both the Undergraduate Librarian and the Head of the Processing Department showed concern over the curtailment of student help. The Biology, Law and Music Libraries and the Main Library Circulation Department appear to face the need of additional full-time staff members. Although interviews indicate that increased funding for UTK Libraries will be a vital issue in the next five years, the necessity under budgetary and inflationary pressures to utilize the funds available emerges as an equally vital issue. This seems to point up the need to develop a comprehensive and ongoing system of planning, budgeting and controlling all of the various functions of the library.

The development of UTK Libraries to meet the needs of the campus is particularly relevant to the University of Tennessee/Knoxville. There is a need for the Director of Libraries to be more directly involved in University program development. The Director of Libraries attends meetings of Deans and Directors and is active as Chairman of the Senate Library Advisory Committee. It is felt that he should be more directly involved in curriculum development, and that he should be a member of the Graduate Council. The elevation of the Director of Libraries to a position of authority within the University commensurate with the University-wide responsibilities of the Library system could achieve these

aims.* It is strongly felt that the library administration must be involved in developing the UTK Master Plan.

Branch librarians expressed concern over the lack of involvement of the library administration as well as branch librarians in curriculum planning. Only the Law Librarian and Music Librarian seemed to feel that they are actively involved in program development. The Law Librarian indicated this was probably due to the fact that he teaches an occasional legal bibliography course in addition to his assignment as Law Librarian. All agreed that the involvement of librarians in University planning would result in better library service.

The fact that the UTK Administration is placing greater emphasis on excellence in, and expansion of, graduate programs has serious implications for UTK Libraries. This emphasis on graduate programs will entail greater development and enrichment of the library collection and could result in the adding of subject specialists to the library staff. The library staff will probably have to concern itself more with indepth public services. The library must be prepared to place increasing emphasis on research needs as well as the ongoing instructional needs of the University.

The trend toward utilization by libraries of technological advances is being felt at UTK Libraries. The circulation system at the Undergraduate Library is now being automated. A serials holding list is now being developed. An automated purchase order writing system for the Acquisition Department which could evolve into an automated bookkeeping system would reduce the number of manual routines now being performed. The feasibility of an electronic security system is being investigated. Another implication for UTK Libraries is the proposed OCLC replication within the Association of Southeastern Research Libraries.

The UTK Library Administration recognizes that more and more non-print materials are being used in instructional programs. UTK Library Administration reaction has been the creation of a Non-Print Materials Center at the Undergraduate Library. A need exists for improved listening facilities at the Music Library. More use of microforms could be part of the solution to croweded conditions at branch libraries as well as at Main. The Law Librarian visualizes internal microfilm capability to film materials not available commercially on microforms. Orientation programs involving use of taped tours and explanation at point of use are being developed at the Undergraduate Library.

---

*An example of this sort of University-wide responsibility exists at Columbia University (Warren J. Haas, Vice President for Information Services and University Librarian). Indiana University and Johns Hopkins University have taken similar steps.

The automation of procedures may create problems as well as solve problems. Funds will be needed for expensive equipment and trained personnel. Building renovation may even be required to accommodate new technology. UTK Library Administration must remain alert to these technological advances and the possibility of their application for the library.

Recognizing that new approaches and skills are required in managing human resources, UTK Libraries will have to place greater emphasis on staff development of academic as well as supporting staff members. Hopefully, this will result in increased efficiency of employees and better employee relations. The UTK Library Administration must generate greater staff involvement in input to decision making by soliciting suggestions and giving recognition when due. The Undergraduate Librarian foresees higher quality of service due to changes in staffing patterns. Staff must be encouraged to become involved in campus and community affairs.

The UTK Library Administration has recognized the need for specialists on the library staff. A Controller, Administrative Assistant for Personnel and a Systems Analyst have been added to the staff. These people are professionals within their areas and one also holds the M. S. in L. S. The fact that they are professionally trained must be taken into consideration in their appointment and status on the staff. The use of subject specialists in collection development is a step which UTK Libraries might consider. The Head of Main Reference sees increased use of subject specialists in general reference areas. At the Undergraduate Library, the staff is being encouraged to develop specialization in certain areas rather than to add specialists to the staff.

Universities are reconsidering the ways in which they are organized and managed. UTK is no exception. The organizational structure of the UTK Libraries ought to reflect its counterparts within the University Administration. Steps are being taken to organize the library faculty along the guidelines for other faculties provided by UTK Administration. Attempts are being made to encourage library faculty to become involved in campus activities and to seek appointment on University-wide committees. The Director of Libraries is responsible for serving the research and teaching needs of the entire University community and should be viewed as a University-wide administrative officer. The study team strongly feels that the Director's position should be reviewed in relation to its importance to the entire campus.

The need to plan and implement schemes of interinstitutional and regional cooperation is a trend recognized by UTK Library Administration. UTK Libraries is presently members of the Center for Research Libraries, the Association of Research Libraries, the Association of Southeastern Research Libraries, the American Library Association, the Tennessee Library Association,

and the Southeastern Library Association. A variety of cooperative ventures are presently under discussion. The study team recognizes the need for cooperative undertakings such as interlibrary loan efforts which may not be beneficial to all parties concerned. It is felt, however, that future cooperative ventures considered by UTK Libraries ought to consider mutual benefits to all parties. The Law Librarian feels that cooperative programs of identifying special interests for area libraries in collection development has great possibilities. The OCLC system proposed for the Southeast could have far-reaching implications for UTK Libraries. Most branch libraries, especially in science, indicated a need for cooperation among UTK Libraries for identifying scope of individual branch collection.

Attachment A

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

November 8, 1972

MEMO: For the Record

From: George W. Shipman GWS

Subject: Major Trends and their Implications for UTK Libraries

1. Trend

The decreasing emphasis in the State of Tennessee on higher education has resulted in funds being made available at a reduced rater of growth to UTK. Another related trend is the development on the part of the Tennessee Higher Education Commission of more rigid formulae in funding the state institutions.

Implication

The implication for UTK Libraries is that the Library Administration must maximize its efforts in an attempt to gain a greater share of the dollar made available to The University of Tennessee/Knoxville Administration. In the most recent fiscal year The University of Tennessee on the average was funded at approximately 76% of the THEC formula. The UTK Libraries was funded at 57.6% of the formula. This means then, that the Library Administration must take steps to achieve parity with the rest of the campus in regard to formula funding. Additionally, UTK Libraries ought to lend its support to UTK Administration in seeking full formula funding for the Knoxville campus.

The current THEC formula for library funding is apparently based on the ACRL standards. The UTK Library Administration must impress upon the University Administration and the THEC the differences inherent in maintaining a research library as opposed to the requirements of a four year college library. Finally, the Library ought to obtain more gift funds for libraries.

2. Trend

The implication that the university libraries ought to tailor its development to the needs of the university is particularly relevant.

Implication

The recent announcement by Chancellor Dykes in regard to the need for a master plan for UTK should trigger a reaction in the Library Administration. That reaction ought to result in greater involvement for the Library Administration in the master plan and in other plans affecting programs on the UTK campus. There appears to be a need for the Director of Libraries to be more directly involved in program development and this might be achieved by the elevation of the Director of Libraries to a level commensurate with an Associate Vice Chancellor. Similar steps have been taken at Columbia University, Johns Hopkins, and Indiana University.

3. Trend

The UTK Administration is placing greater and greater emphasis on excellence in and expansion of graduate programs.

Implication

The implication is that the University Libraries ought to work diligently in the development and the enrichment of its collections, look at the possibility of hiring subject specialists, develop a greater awareness on the patron's part of services available to them, generate more self-help aids in order for the public services staff to concentrate more on indepth services, more efficiently utilize the professional public services staff by minimizing their involvement in low level tasks and finally, the improvement of physical facilities.

4. Trend

Because of limited financial resources and a greater need for management information, automation would seem to be a spectre on our horizon.

Implication

The Circulation System is presently being automated in the Undergraduate Library. A serials holdings list is being generated. In the future, we would look at an automated purchase order writing system and the OCLC replication within the Association of Southeastern Research Libraries.

5. Trend

The trend recognized earlier that higher education in the State of Tennessee no longer occupies a position of number one priority is especially pertinent. In view of the drop in priority UTK obviously faces less dramatic budget increases than in recent years.

Implication

The implication for library management is that greater effort toward long-range planning ought to be considered in the areas of physical facilities, fiscal resources, collection development, and staffing requirements.

6. Trend

UTK is no exception to the rule when it comes to the management of human resources requiring new approaches and skills.

Implication

UTK Libraries will have to place greater emphasis on staff development for both professional and nonprofessional staff members. The hoped for result will be increased efficiency of employees as well as the benefit of better employee relations. The UTK Library Administration must also generate greater staff

involvement in input to decision making by soliciting suggestions and giving recognition when due. In addition to these implications, it would seem necessary to develop specialized expertise in subject specialization as well as the utilization of professional specialists (accountants, personnel, systems analysts, etc.)

7. Trend

The trend toward universities reconsidering the ways in which they are organized and managed has a direct effect on libraries.

Implication

The organizational structure of the UTK Library ought to reflect its counterparts within the University Administration. By the same token, the study team strongly feels that the universal or comprehensive position of the Library on the campus dictates that the Director's position be reviewed in relation to its importance, to the development of campus policies, campus programs, and campus management. From an internal point of view, the trends and implications being studied will, hopefully, affect the internal library organization as a change agent.

8. Trend

The need to plan and implement schemes of interinstitutional and regional cooperation is a trend recognized at UTK Libraries.

Implication

The UTK Library is presently a member of the Center for Research Libraries, the Association of Research Libraries, the Association of Southeastern Research Libraries, the American Library Association, and the Southeastern Library Association. A variety of cooperative ventures are presently under discussion and some are presently in effect. The study team recognizes the need for such cooperative ventures, which may not necessarily be beneficial to all parties concerned, such as Interlibrary Loan. However, in the future, all major cooperative ventures considered by UTK Libraries ought to be considered with an eye to mutual benefits to all parties. It is the present feeling of the study team that cooperative ventures are most successful where the result is an internal reallocation of resources as a direct result of the venture.

CHAPTER III

This phase of the study is charged with the responsibility of developing better ways of arriving at objectives to guide library activities. In order for the study team to be able to do this, it had to first look at the existing University and Library Statements of Purpose and Objectives. In the initial study team meeting it was uncertain as to whether or not the University had available written objectives. General statements of University purpose or mission existed, but a statement of objectives was also needed. It was decided that the study team chairperson should schedule an interview with a representative of the UTK Administration. George Shipman arranged an interview with Dr. Luke Ebersole, Vice Chancellor for Administration, who better defined the UTK purpose and enumerated specific objectives of UTK. (See Attachment B November 9, 1972 memorandum, Dr. Luke Ebersole - UTK Purpose and Objectives Discussion.)

The study team had earlier received from the Director of Libraries a statement of library purpose and a list of ongoing program objectives. (See Attachment C, July 21, 1972, Library Purpose and Ongoing Program Objectives.) This statement had evolved from an earlier one presented to the UTK Administration in the Fall of 1971-72.

The study team discussed the University and Library Statements of Purpose and Objectives. Primary concern at this stage was the clarity of these statements. Was there agreement on the primary purpose of each? Were the library purpose and objectives in general agreement with the purpose and programs of the University? The study team concluded that generally the library purpose and objectives were in keeping with the overall University purpose except that the library purpose seemed to confine itself too much to service within the state.

The study team chairperson asked each team member to carefully review the analytical tables at the end of Phase III in the manual, along with the previous discussions on purpose and objectives. This was in preparation for a retreat where the study team systematically applied the analytical tables to the data gathered. Each principle was discussed. Determination was made concerning the meaning of principle. Were the principles valid for the UTK Library? If so, the team moved on to the criteria in the tables. If not, a decision was made as to an appropriate wording of the principle. Each criterion was applied to the existing situation in the library, and concensus was reached as to the finding most appropriate to the UTK Library situation. Evidence of this finding was shown usually by pointing out particular objectives which applied. Following the evidence it was necessary to describe, evaluate, and present some conclusions regarding present situations. Specific recommendations were called for and made. It was found, however, that not all criteria required recommendations.

The following are some of the most important recommendations made by the study team and these have been extracted from the complete record of discussion in Exhibit One - Analytical Table.

Recommendation for:

1. Revision of Objective 3 to read -- "Acquire and service all necessary forms of relevant recorded information, including non-print materials, in the fields pertinent to the program of the University."

   The original objective seemed to be too inclusive by saying "all forms"; changed to "all necessary forms." "Selected" in original was changed to "those fields pertinent to programs of the University" thereby eliminating implication of preferential treatment to certain programs of the University.

2. Revision of Objective 11 to read --"Review professional and technological developments for possible application in the library system."

   Original objective states "new technology" which implied more technological hardware and methodology. Revision reflects professional aspect, too.

3. Addition of Objective 14 -- "Develop a commitment to long-range planning for constructive development of resources for teaching and research."

   The study team felt that objectives should reflect long-range planning for resource development.

4. Addition of Objective 15 -- "Develop and maintain an orientation or education of the library patron for maximum utilization of the libraries' resources and facilities."

   The study team determined that this was a gap in present objectives.

5. Elimination of Objective 8 -- The study team felt the intent of Objective 8 was conveyed in Objectives 5 and 7.

6. Change in library purpose statement -- "The University of Tennessee/Knoxville Library as the premier research library of the State seeks to support and stimulate undergraduate instruction, graduate instruction and research, and faculty research and service

on the Knoxville campus and to respond to the needs of scholars by providing access to recorded information."

Elimination of -- "It seeks to acquire and service all forms of recorded information in selected fields pertinent to the programs of the University", because it is repeated in Objective 3.

Elimination of -- "throughout Tennessee." Removes implication that the library is trying to confine itself to Tennessee.

7. Periodic review of library purpose, objectives, and goals be made -- This would help assure their continuing validity and acceptability to the UTK Library administration and staff.

8. Enlarged role for library participation in UTK development planning.

   Seek to get library administration included in the future plans such as UTK Master Plan and new program planning on an increased scale over the past.

9. Establishment of goals for each library unit -- A procedure was outlined for the establishment of these goals in Attachment E (memo - Dec. 11, 1972). Herein is given a process whereby goals could be established. This process would involve all levels of the staff. It is further recommended that because of the time commitment necessary to do a good job of goal establishment that this process be delayed until after the completion of the ARL Management Study.

A meeting was arranged with the Director of Libraries during which he discussed the above recommended changes. The Director felt that the study team had misinterpreted the intended meaning of Objective 8 when its elimination had been recommended. He suggested that it be clarified rather than eliminated. The recommendation of the study team for changes in the purpose and objectives will be brought before a future meeting of the department heads, but he felt that side by side comparison of the old purpose and objectives and recommended change should be provided.

He said priorities are in fact assigned to the objectives whether the study team wishes to arrange them in such a fashion or not. Priorities in practice have to be established because all the objectives cannot be pursued with the same vigor simultaneously. However, when all the objectives are observed from a long-range perspective, sometime during this period each of them should have been emphasized if they are indeed valid objectives.

Attachment B

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

November 9, 1972

MEMORANDUM

TO: Dr. Luke Ebersole, Vice Chancellor for Administration

FROM: George W. Shipman, Associate Director of Libraries

SUBJECT: UTK Purpose and Objectives Discussion

I would like to thank you for sparing some of your time to discuss the purpose and objectives of The University of Tennessee/Knoxville. The following statement represents the notes I took during our interview, and I hope they reflect your thinking. In the event you find either content or wording objectionable, please give me a call and I will make the necessary corrections.

Purpose: The University of Tennessee/Knoxville strives to meet the educational and research needs of the State of Tennessee. By the same token UTK also seeks to be a national university in its service to higher education and research.

Objectives: 1. To meet the undergraduate, graduate, and professional program needs for the State of Tennessee and, when possible, those of the region and nation.

2. Maintain growth in the number of students in its graduate and professional programs recognizing the fact that as an undergraduate institution it will continue to experience growth, but that the regional universities and the state colleges of Tennessee will offset some of the demands for undergraduate growth.

3. To identify changing needs in educational research programs.

4. To continue to seek excellence in its educational and research programs through hiring the best people possible for positions and seeking better resources for UTK.

5. In an attempt to maintain an atmosphere conducive to the pursuit of intellectual enlightenment, UTK seeks to maintain a superior setting or environment for faculty and students.

6. To develop a UTK Master Plan with an eye to mission definition and achievement of institutional goals.

7. To be involved in long-range planning for fiscal resources, physical resources, and human resources.

8. To provide intellectural and artistic leadership for the state and region.

9. To provide services to the private and public sectors of the state when they are not made available from other sources.

In light of the fact that The University of Tennessee/Knoxville is presently involved in the development of the Master Plan for this campus, the above purpose and objectives statements from you will suffice for our Management Study. We look forward to the development of the Master Plan and hope that The University Libraries will be able to contribute in some way.

Again, I thank you very much for your time and your thoughts.

LIBRARY, THE UNIVERSITY OF TENNESSEE/KNOXVILLE

LIBRARY PURPOSE

The University of Tennessee/Knoxville Library is the premier research library of the State. It seeks to acquire and service all forms of recorded information in selected fields pertinent to the programs of the University. The library seeks to support and stimulate undergraduate instruction, graduate instruction and research, and faculty research and service on the Knoxville campus and to respond to the needs of scholars throughout Tennessee.

ONGOING PROGRAM OBJECTIVES

1. Establish library requirements for campus instructional and research programs by maintaining regular contacts with academic departments and administration and being actively involved in committees concerned with topics having implications for library resources and services.

2. Increase and maintain the acquisitions budget to reflect the number and level of programs as well as the number of students served.

3. Acquire and service all forms of recorded information, including non-print materials, in selected fields pertinent to the programs of the University.

4. Develop and maintain a clear definition of scope of collection for each library unit on the campus in order to minimize the fragmentation and duplication of resources.

5. Process, on a current basis in the LC classification, all materials except manuscripts, fiction, UT theses and dissertations, juvenile materials, primary and secondary texts, and ephemeral materials.

6. Develop and maintain a strong staff, adequate in number, through systematic recruitment, orientation, in-service training, specialization, advancement, and competitive remuneration.

7. Accommodate collections, patrons, and staff in physical facilities offering ready access to and usage of materials under optimum conditions.

8. Organize the collections in a manner that will facilitate access by all users.

9. Maintain materials in good physical condition through an active binding and preservation program.

10. Develop and maintain systematic planning and reviewing procedures to ensure maximum utilization of personnel and financial resources.

11. Remain alert to new technology.

12. Maintain a constructive working relationship with other libraries and associations to enhance access to other resources and to effect the development of mutually advantageous approaches to collection policies and interlibrary exchange.

13. Maintain good service through a genuine concern and friendly attitude toward patrons.

July 21, 1972

LIBRARY, THE UNIVERSITY OF TENNESSEE/KNOXVILLE

LIBRARY PURPOSE

The University of Tennessee/Knoxville Library as the premier research library of the State seeks to support and stimulate undergraduate instruction, graduate instruction and research, and faculty research and service on the Knoxville campus and to respond to the needs of scholars by providing access to recorded information.

ONGOING PROGRAM OBJECTIVES

1. Establish library requirements for campus instructional and research programs by maintaining regular contacts with academic departments and administration and being actively involved in committees concerned with topics having implications for library resources and services.

2. Increase and maintain the acquisitions budget to reflect the number and level of programs as well as the number of students served.

3. Acquire and service all necessary recorded information, both print and non-print, in those fields pertinent to the programs of the University.

4. Develop and maintain a clear definition of scope of collection for each library unit on the campus in order to minimize the fragmentation and duplication of resources.

5. Process, on a current basis in the LC classification, all materials except manuscripts, fiction, UT theses and dissertations, juvenile materials, primary and secondary texts, and ephemeral materials.

6. Develop and maintain a strong service-oriented staff, adequate in number, through systematic recruitment, orientation, in-service training, specialization, advancement, and competitive remuneration.

7. Accommodate collections, patrons, and staff in physical facilities offering ready access to and usage of materials under optimum conditions.

8. Administer the collections in a manner that will facilitate access by all users.

9. Maintain materials in good physical condition through an active binding and preservation program.

10. Develop and maintain systematic planning and reviewing procedures to ensure maximum utilization of personnel and financial resources.

11. Develop a commitment to long-range planning for constructive development of the collections to support teaching, research and service.

12. Review professional and technological developments for possible application in the library system.

13. Maintain a constructive working relationship with other libraries and associations to enhance access to other resources and to effect the development of mutually advantageous approaches to collection policies and interlibrary exchange.

14. Implement and maintain an orientation and education program for library patrons for maximum utilization of resources and facilities.

Recommended by ARL Study Team
Revised March 15, 1973

Attachment E

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

December 11, 1972

MEMO TO: ARL Study Team

FROM: George W. Shipman

SUBJECT: A Procedure for the Establishment of Goals in Conjunction with the UTK Library's Statement of Purpose and Objectives

The study team recommends that the UTK Library Administration break down its current statement of objectives into subordinate categories of more specific objectives relating to the broader objective. After this is done and the library heads and staff review, revise, and approve these subordinate or more specific objectives, we feel that the following procedure, or one similar to it, should be utilized by UTK Libraries in the establishment of specific goals.

Each head should be given a copy of the UTK Library Statement of Purpose, Objectives, and Specific Objectives and advised to develop for his/her specific department a series of goals which fit within the comprehensive framework of the newly defined UTK Library Statement of Purpose and Objectives. Specifically, each head should develop the most comprehensive list of goals for its department as possible and then take these goals to the staff of that department for a thoroughgoing discussion in an attempt to critique the goals, revise them, add to, or delete from the goals.

The list of goals resulting from this process ought to be taken back to the library administration through the appropriate Associate Director or Director for review. The library administration ought then to review the statement of goals for relevance, comprehensiveness, clarity, and pertinence to not only the departmental but the total library program as stated in the purpose and objectives. At this point discussion should probably be held between the library administration and heads of various departments where problems seem to have occured in the development of a relevant and comprehensive list of goals.

The library administration should then revise the list as necessary and present the list to the heads for discussion. At this point either the existing ARL Management Study Team or another group of similar composition ought to be appointed to utilize the analytical tables found in Phase III of the ARL Management Study Manual in order to evaluate the purpose, objectives, but most specifically the goals and their process of establishment. The study team feels that the analytical tables, the principles, and criteria contained in Phase III are quite valuable in the assessment of both the goals and their process of establishment.

The study team cautions the library administration to avoid taking on this project during the current ARL Management Study. The time commitment necessary to do an adequate job of goal establishment and review would compete too much with the Management Study and other activities of the library.

CHAPTER IV

PLANNING TASK FORCE REPORT

Present University Planning Activities

Planning activities on the UTK campus do not currently reflect in-depth efforts at long-range planning. The current situation can be best described as short-range planning activities with aspirations to develop mid- to long-range planning activities for UTK. Evidence of the lack of long-range planning is a lack of a formal statement of purpose and objectives, a lack of a formal public unified program for the overall development of UTK, and the lack of a "plan for planning." The current UTK Administration has, however, taken several steps which indicate that the planning process is going to play a prominent role in the administrative processes at the campus level.

Short-range "programs" which are direct results of short-range planning are in effect. The most graphic example of this type of formalized program representative of planning is the budgeting cycle. Another short-range plan about to manifest itself is the proposed "Administrative Reporting Schedule" currently under discussion. One manifestation of a UTK Administration attempt at mid-range planning is Vice Chancellor Walter Herndon's survey of faculty member requirements for the next five years.

UTK had grown dramatically in recent years from basically an undergraduate institution to a comprehensive university serving undergraduate and graduate instruction and research. The planning activity did not grow at a commensurate rate with the rest of the university. In addition to this rate of growth it must also be pointed out that UTK is presently evolving from what can be characterized as an informally administered institution to a more formalized structure.

Recently, UTK Administration has taken steps which seem to recognize the need for more sophisticated and comprehensive planning activities. There appear to be a number of reasons for this apparent direction. UTK is governed generally by the Tennessee Higher Education Commission Master Plan (December 5, 1972.) While UTK has no comprehensive master plan as yet, one will be developed fairly quickly as a result of the THEC Master Plan, the growing importance of accountability in higher education, and current UTK administrative attitudes. Two recent manifestations of the trend towards planning are: (1) the October 1972 proposal by Chancellor Archie Dykes that UTK develop a campus master plan and (2) the creation of a UTK Role and Scope Committee in November 1972. The task force recommends that the UTK Library Administration support the UTK efforts towards a formalized planning process (Role and Scope Committee and UTK Master Plan Program). Further, the UTK Library Administration should attempt to take part in these new processes and make its aspirations known to the UTK Administration.

While it may be too early to judge the level of library participation in the planning process, it is appropriate to make some observations on past and current trends. Traditionally the library administration has been formally involved only at the level of the Deans' and Directors' weekly meetings. This implies that the UTK Administration views the library role as no more comprehensive than any other college or school on the campus. The role of the library system is to support the instructional and research needs of all segments of the campus and cannot be as narrowly construed as a college or school within the campus community. The task force recommends that the role of the UTK Libraries be reviewed by the UTK Administration and that the position of the libraries in the planning and, indeed, the UTK administrative process be altered to reflect the comprehensive role of the library.

The current relatively informal planning process at UTK has resulted in two systems of dissemination of planning information to the UTK Libraries. The formal system of notification through the administrative channels presently established appears to be lacking because the formal planning is incomplete. An informal system exists in the vacuum. This process seems to base its strength on (1) the personal relationships between the UTK Library Administration and the UTK Administration, and (2) by dint of the confidence the UTK Administration holds in the current director. This informal systems seems to work effectively, but would be unnecessary under more ideal planning conditions. The flow of planning information would not be contingent upon the "good will" of the informal structure.

Because of the informality of the current planning processes and the lack of comprehensive library involvement, the library is not afforded a role in the process commensurate with its responsibility to UTK. This oversight could in the long run result in planning for the university community that does not reflect the comprehensive needs of UTK. In light of these remarks, the task force emphasizes its earlier recommendations that the UTK Library Administration support UTK planning activities and aspire to take part in their programs.

Library Planning Activities

The UTK Library Administration is not currently involved in formal long-range planning. During the data gathering phase, the Planning Task Force observed that the library administration is more activley engaged in developing experience and expertise in the area of tactical or short-range (one year) planning activities. Many of the criteria and principles set forth in the MRAP manual are being adhered to by the library in its short-range planning program.

The remarks above do not necessarily mean that the library opposes the concept of long-range planning. An interview with Director Richard W. Boss revealed that he recognizes the need for the library to be engaged in this process,

but would oppose any attempt to move the library immediately into a long-range planning effort. His position is based on a need to develop experience and expertise on the part of the library administration and staff. He pointed out that the administration and staff are becoming adept at short-term planning cycles and that the experience gained through these processes would serve well in an evolution to mid- to long-range planning activities. This is his stated goal.

The implications fostered by the MRAP manual is that all libraries ought to be totally involved in the planning process as a reflection of good management. Philosophically the Planning Task Force found this acceptable, but overcame the temptation of recommending that the library rush pell mell into a total process. From a practical point of view it would seem more important for the library to gradually move into more ambitious planning efforts as the total organization becomes more proficient at the interaction necessary in planning, and the planning process itself. The task force concurs with Director Boss's evolutionary approach to this process.

Further, the task force advises the library administration to review the MRAP criteria and principles as it attempts to develop a comprehensive long-range planning program. In addition to these criteria, the task force recognizes the need for awareness of changing principles in management and planning, and suggests the library administration be alert to alternate or to changing criteria.

Specific recommendations follow:

1. That the UTK Library Administration support the efforts of the UTK administration towards long-range planning manifested in the establishment of the Role and Scope Committee and the development of a UTK Master Plan. Further, that the library administration play as prominent a role in these processes as possible and make these aspirations known to the UTK Administration.

2. That the UTK Library Administration make a concerted effort to convince the UTK Administration of the comprehensiveness of the library role in the University and that the UTK Administration be asked to recognize this role by appointment of library representatives to planning councils.

3. That the UTK Library planning effort be based on formal or informal planning efforts of the UTK Administration.

4. That library plans demonstrate a relationship between library programs and University objectives, programs, and plans.

5. That a plan for planning be developed by the UTK Library Administration as a guide to the formal planning effort.

6. That the plan for planning responsibilities be clearly and appropriately assigned to the library staff.

7. That a calendar of planning activities be used to keep the library planning effort on schedule.

8. That overall planning be controlled on a centralized basis, but that the details of planning and opportunities for input into the planning process be made available on a decentralized basis. That the goals the library seeks are decided first, followed by a consideration of means of achieving those ends.

9. That a range of alternative plans for resolution of issues be considered in the process of library planning.

10. That a formal long-range master plan be available that matches the library's special skills and resources.

11. That the plans developed be projected to determine additional skills and resources needed.

12. That divisional, departmental, short-range, and specific plans be coordinated by the master plan.

13. That a time schedule be made available for each phase of the planned program of action with specific responsibilities clearly assigned.

14. That the plans be available for each unit in the overall system that cover the specific elements of (1) a statement of mission, (2) philosophy and continuing objectives, (3) basic policy, (4) strength and weaknesses, (5) key result areas, (6) resource, service and support programs, (7) strategies for achieving programs, and (8) financial requirements.

15. That formal long-range planning be developed to systematically cover the basic elements of planning.

16. That staff be involved in the formal long-range planning process, both at a review and input stage, and copies of the plan be made available to library staff members.

17. That short-, mid-, and long-range documents be made available.

18. That UTK Library Administration consider strategic and operational planning as a basic part of their professional responsibilities.

19. That long-range planning be regarded as a continuing effort and existing plans be revised on at least an annual basis, taking into account (1) experience and insight gained as plans are implemented, (2) changes in university philosophy, objectives, and progress, and (3) availability of improved management data.

20. That serious consideration be given to the designation of an individual as a coordinator of planning in the library with the responsibilities for establishing planning schedules and guidelines, assembling basic information and data needed for planning, identifying bases for evaluation, coordinating the overall planning effort, and consolidating the individual unit plans with the master plan.

21. That the staff be involved in the planning effort so as to secure the necessary perspectives, information, and commitments. Roles are played by (1) university administration, faculty and students, (2) library administration, professionals, and support staff, and (3) professional and technical sources outside the university.

22. That the top management team perform an active role in the formulation of long-range plans and in providing leadership for their effective implementation.

23. That adequate forecasting that calculates the impact of trends and future events on library management become a part of the long-range planning process. This includes (1) sufficient statistical records for the comparison of past performance with present performance and for the consideration of significant trends in percentage changes, (2) identification of past and future events that may influence the achievement of objectives, and (3) special studies in the problem areas.

24. That there be definite, clearly written and attainable goals, (1) goals cover all library activities, (2) goals are carefully coordinated and interrelated throughout the library, (3) goals are set by those responsible for the successful conduct of the activity, and (4) goals are regularly reviewed and revised to assure high levels of performance and a responsiveness to changing conditions.

25. That courses of action be formulated that are designed to employ strategies and program elements that are aimed at achieving established goals.

26. That the library's formal long-range plans be action oriented with a realistic feasible program that can be moved toward implementation through (1) annual operating budgets, (2) operational plans, and (3) day-to-day action.

STUDY TEAM REACTION TO THE PLANNING TASK FORCE REPORT

Upon review of the Planning Task Force documentation and report, the study team makes the following observations. Two salient points were raised by the task force about the UTK Administration planning efforts. The first point is that the UTK Administration has no established long-range planning process. The second is that the library role in the UTK process is best described as an informal one. The UTK Library Administration is provided input on a regular basis through the Deans' and Directors' meeting and through frequent direct contacts with the Vice Chancellor for Administration's Office as well as other UTK Administrators.

The absence of a mid- or long-range planning process at the UTK administrative level forces the UTK Library to base its planning activities on a minimum of formal statements on the part of the University and a maximum of assumptions on the part of the UTK Library Administration on the UTK Administration plans. It is difficult to imagine any administration being prodded by a subordinate organizational element into such a major endeavor as a long-range planning process. The study team nonetheless endorses the task force admonition that the UTK Library Administration support any planning effort brought forth by the University Administration and periodically ask that the University Administration indulge in these efforts.

The study team endorses the position of the task force that the UTK Library ought to play a planning and administrative role in the UTK administrative process commensurate with its comprehensive service role to the campus. The library cannot be narrowly construed as another college, school or department within the campus community. In the event the University Administration were to accept this thesis and take steps to place library representation in higher planning councils, many of the informal channels of communication would be unnecessary (but desirable) because of increased formal representation and increased formal channels of communication and means of input for the library. The following quotation from the Planning Task Force Report is particularly pertinent:

> "Because the informality of the current planning process and the lack of comprehensive library involvement, the library is not afforded a role in the process commensurate with its responsibility to UTK. This oversight could, in the long run, result in planning for the University community that does not reflect the comprehensive needs of UTK."

The study team recommends that the UTK Library Administration make clear this position to the UTK Administration and seek to expand the role of the UTK Libraries in the life of the UTK community and administration.

In regard to the planning process in UTK Libraries, the study team accepts the findings of the Planning Task Force but wishes to highlight one or two points. The first is that while the library is involved in short term (one year) planning on an informal basis, many of the criteria found in the MRAP manual, which by implication are sound managerial practices, are being implemented by the library administration. Some of the criteria are being implemented on a methodical basis, while others would appear to be accidental or incidental to UTK Library administrative style. The study team feels that a more formal process established by the UTK Libraries would and ought to utilize the criteria to be found in the MRAP manual and other similar sound criteria.

The second point and perhaps the major issue the study team wishes to elaborate upon, is the evolutionary process of the development of planning. The study team observes that the momentum created by the ARL Management Study and current apparent enthusiasm of administration and staff for application of sound management principles, dictates that now is the time for the UTK Library Administration to move forthrightly into a formal process of short (one year) range planning, as well as a formal planning process on a mid-range basis. These processes ought to be undertaken with the full understanding that long-range planning is the ultimate goal. The formal process ought to include a plan for planning. The responsibility for planning coordination ought to be assigned to an existing staff member or office. The plan for planning and the formalized process ought to be directly related to UTK planning and program development, as well as to the existing purpose and objectives and the addition of an automatic mechanism for review and change of the purpose and objectives. This position does not have to contradict the position taken by the task force because it represents an evolutionary step from an informal short-range process to a formal mid-range process and would be taken at a propitious point in time for the UTK Library. The study team feels that now is the time to move formally into this process. The experience, expertise and enthusiasm levels within the UTK Library appear to be appropriate for this measure.

POLICIES TASK FORCE REPORT

The UTK Library policies have traditionally been predominately unwritten. Historically this came about primarily because of a very stable library personnel situation and until recently a rather modest operation in size and complexity in comparison with other university libraries. The library administration, as well as the department heads, remained essentially the same personnel for about a twenty-year period. During this period the library was developing from what is recognized today as basically a college library into a complex university library. Communication was very good among library administration, department heads and the entire library staff. As this staff grew in experience and understanding along with the developing of the library, there was not felt to be a strong need for formalizing library policies until recently. As the complexity of the library operation has steadily increased and many personnel changes in key positions have occurred, it has become difficult to operate the library effectively with formalizing and distributing library policies.

The task force has attempted to assemble all pertinent university and library policies. University policies were obtained from University of Tennessee Personnel Policy & Procedures Statements, University of Tennessee Fiscal Policy & Procedures Statements, Faculty Handbook and memoranda distributed by the university administration. Library policies were obtained from files in the Director's office and additional policies were obtained from Library News Notes and miscellaneous library publications. Unwritten policies were determined by interviewing library administration, department heads and branch librarians. The task force tried to determine by interviews how policies had been formulated. Until about two years ago, policies had generally been formed in the following manner:

> Department head or branch librarian presented problem to library administration. Library administration and unit head involved discussed problem and arrived at an understanding of what the library policy would be. In most cases this policy remained unwritten.

Recently library policies have generally been formulated in a slightly different manner:

> Library administration, alerted by the unit head involved, places a problem on the agenda to be discussed at the library heads' meeting. If it is found that the problem needs further study, a committee is appointed and instructed to research possible solutions and come back at a future library heads' meeting with a report providing recommendations. This committee

report is discussed with the Faculty Senate Library Committee and library heads for reactions and suggestions. After advice from both of these groups, library administration then prepares a draft of the policy to be submitted to the two groups for their final approval before actually becoming library policy.

An examination of existing written library policies leads the task force to the conclusion that the bulk of these written policies are principally minor or intermediate. Most of the general library policies remain unwritten. The attempt to organize and evaluate present policies has made it clear there are many areas where policies need to be formalized. The task force knows that many unwritten policies exist. It is very difficult to determine with any precision what they are. This uncertainty concerning library policies makes it difficult to maintain continuity. The task force suspects that there are many situations that arise which would be controlled by unwritten policies but persons involved act completely unaware of any existing policy. This uncertainty often leads to conflicting versions of what library policies are.

Recommendations

That UTK administration be encouraged to involve the director of libraries in university policy formulation, especially in those areas where the policies will have particular importance to the library.

That someone in the library administration be designated policy coordinator for the library and have as one of his duties the checking of all library policies to see that they are consistent with applicable university policies.

That policies, especially major general library policies, should be formalized. A priority listing of unwritten policies to be drafted should be made. Responsibility for developing policies in specific areas needs to be assigned when appropriate.

That as policies are formulated, policy coordinator will check for their consistency, both internally and with university policies.

That policy coordinator will monitor library policies and determine whether they are in agreement with library goals and objectives.

That as previously recommended we feel that a policy coordinator should be designated, and as suggested in the manual, the coordinator should be someone in the library administration.

That the director of libraries should be clearly designated responsible for the library adopting and implementing university and library policies.

That appropriate library staff committees, individual library staff members, faculty committees and individual faculty members be consulted for advice and counsel before library policies are implemented.

That library policy manual be started using Appendix Two or some similar division as a guide to classify existing library policies. Policies should be on one page so that changes can be easily inserted. Priorities need to be assigned for policy formulation. As manual develops, an index should be made to identify related policies. Sufficient number of copies should be maintained throughout the library system. Systematic review and revision of library policies should be implemented and these new policies quickly made available for insertion into manuals.

STUDY TEAM REACTION TO THE POLICIES TASK FORCE REPORT

The study team accepts in entirety the documentation and findings of the Policies Task Force. On a campus level, the findings clearly point out that the UTK Library Administration is not as involved in UTK policy making activities as much as it should be. The specific finding is that the level of involvement in policy formulation of the UTK Libraries in the UTK community is basically restricted to the Deans' and Directors' meeting attended weekly by the Director of Libraries. Unfortunately, many policy decisions are made outside this forum without the benefit of UTK Library participation in this policy formulation process. As the task force reports, the UTK Library Administration has not often had adequate opportunity to express library views and needs in these policy formulation processes. The study team recommends that UTK Libraries make these feelings known to the UTK Administration and that the UTK Library Administration become more formally involved in the higher levels of UTK Administration, particularly in regard to policy formulation in order to provide maximum beneficial input and to avoid surprises (to the library) in the establishment of policies.

In regard to policies in the library system itself, the task force quickly discovered that written policies are not gathered into one basic series of documents, available to library administration, department heads, and staff. At this writing, existing written policies and procedures have been compiled and are available. This document is merely a compilation of these statements and is not to be construed as anything resembling a complete statement of library policy.

The study team further recognized the need for the identification and codification of existing unwritten policies and identification of areas where no policies exist. The task force recommendation that the UTK Library Administration designate a staff member or office to serve as a policy coordinator is heartily endorsed. The charge given to the policy coordinator or office ought to be: (1) to organize and formalize existing written policies, (2) to identify unwritten policies in the libraries to ascertain whether or not they coincide with current UTK policies and UTK Library Purpose and Objectives, to redraft where necessary policies for formalized acceptance by the UTK Library Administration, heads, staff, and Faculty Senate Advisory Committee, (3) that this person or office monitor the effectiveness of policies and identify policies needing revision, elaboration, or deletion, (4) that this person or office identify voids in the Policy Manual, and propose draft policies which might mitigate these circumstances, and (5) to make certain that policies are available to all levels of staff and that this person or office become a consistent source of interpretation of policy within the library system.

It has been pointed out earlier that many policies are unwritten, frequently departmental policies. As these policies become codified the study team feels they should be passed on by the departments to the office charged as policy coordinator. This office should serve as a repository for these policies and not as a point of coordination.

These recommendations as made by the task force and endorsed by the study team represent one more step towards a formalized process of management within the UTK Libraries. To date many areas of management within the library system have been identified as being basically informal but which meet the criteria as established by the MRAP manual. The study team seeks to eliminate the informality of management but also attempts to avoid over-formalization that can result in a stifling bureaucracy.

BUDGETING TASK FORCE REPORT

Description

The UTK Library has an annual budget cycle and must conform to various campus and state guidelines. The overall system of budget requests for higher education in Tennessee is based on formula. The THEC (Tennessee Higher Education Commission) has developed formulae based primarily on credit hours in several catagories to determine the level of funding needed. These formulae are used by the various campuses to compute their budget requests. The campuses do have the opportunity to request additional funding for specific "non-formula" activities. The budget request for UTK is submitted to the UT system for review and submission to the THEC. The THEC holds public hearings on the budget requests throughout the state. The THEC then recommends a budget for all higher education to the Governor and the Commissioner of Finance and Administration. The final budget request submitted by the Governor to the legislature contains the requests for higher education.

The major activities of the UTK Library in the budget process from the campus up are to recommend formula changes and to submit requests to the campus administration for any library activities which should be funded on a "non-formula" basis. The formulae which the library is concerned with is the basic funding formula and the formula used to determine the library's collection deficiency. The UTK Library administration had an impact in obtaining a revision of the deficiency formula. Since the overall budget requests from the UTK campus up are based on formula the library is confined in its approach to budget matters at these levels. The funding that the legislature approves, however, is on a lump sum basis. The UT system receives an appropriation for system and UTK and allocates a portion of these funds to the campus. The UTK campus administration also has the responsibility for allocating the campus funds to the colleges and departments within UTK. There is no requirement that the campus administration allocate funds in the same manner that the formula would allocate the funds. This process results in the need for the UTK Library to request and justify to the campus administration the funds it needs to fulfill its role. The budget presentation to the campus administration is the primary means of communicating proposed library programs and the resources the library needs to adequately serve the academic community. The budget request is submitted as a narrative explaining the programs and the funds needed by each program. The request is basically an add-on request. The campus provides forms for budget requests which are structured on a budget category/object code basis. The narrative and the schedules are coordinated and submitted to the campus administration. A budget hearing is then held which provides the library administration an opportunity to discuss the budget request with the campus administrators.

The campus administration then informs the library of the total amount that will be allocated with any guidelines on the use of the funds. The Library re-evaluates its operating programs and allocates its funds to various activities. The internal allocation is then reported to the campus administration on a budget category basis. The internal control of the budget is based on the budget category/object code allocations developed by the choice of programs the library will pursue.

The internal budget process of the library begins in late fall when the library administration requests budget input from the library department heads. The departmental budget requests are divided into requests for maintenance of effort and requests for new programs. The information that is provided in both these areas is then separated by salary, hourly wage, equipment, and other expenses. Each new or expanded program request is separate. The library administration analyzes the departmental input with respect to both the merits of the proposed activities and the cost of each activity. A preliminary group of programs and dollar amounts is developed by the library administration and preparation of the budget narrative is begun. The tentative list of new or expanded programs is presented to the library heads for their suggestions and analysis. The priorities of the various programs are determined after the reactions of the heads are received. The UTK input forms are completed as they are received and the entire budget package is submitted to UTK administration. This is step one of the process, the budget hearing is held and then the library receives its guidelines for salary increases for the upcoming year. The salary adjustments are computed using the employee evaluations of each employee; this is step two of the budget process. The increases must be within the restrictions imposed by the campus administration, state agencies, and any applicable federal agencies. The next step is that the library receives information as to what the total library budget will be for the next fiscal year. The funds available are the constraints within which the decision must be made as to which programs will be undertaken and at what level of funding. There is a review of these matters with the library heads and the Faculty Senate Library Committee. The approved programs are used to determine the allocations for each budget category and object code. The UTK administration is informed of the allocation of funds using the schedules they provide.

The budget control of the UTK Library is based primarily on internal records maintained by library personnel. These records are supplemented by monthly expenditure reports prepared by the UT Treasurer's Office. The internal records of the library are compatible with the accounting system used by the University. This compatibility is necessary so that the internal records and the University records can be reconciled. The University's accounting system uses several budget categories which are subdivided by object codes. Neither the University's nor the library's records are maintained on a program basis. The use of this type of system means that it is only by detailed cost studies that a cost for a particular program can be determined. This type system does not provide cost information to the department heads within the library.

Evaluation

The UTK Library's budget conforms to the budgeting policies and methods of the University. The library uses the budget process as an opportunity to communicate its short-range plans and needs to the campus administration. The budget of the library includes all its resources except those received from gifts and grants for acquisitions. These funds do not have a great influence on the amount or use of campus funds provided. The budget cannot generally be expressed in terms of instructional, research, and community service. Some services that the library supplies to users outside the campus have been identified, but these have not been segragated as separate budget items.

The formulation of the budget is the ultimate responsibility of the director of libraries. The two associate directors have defined areas of responsibility in the budget process. The heads of operating departments within the library have two formal opportunities to provide input in budgetary matters. The first input is the departmental budget request which is prepared by each department head. The department heads as a group have the opportunity to make comments on the budget as described earlier. The staff of the library have no formal method of providing input into the budget formulation process. There is no special vehicle available for upward communication by the library staff generally or by the library faculty.

The library administration considers budget matters in relation to their impact on the ongoing objectives of the library. There are no formal long-range plans on which the budget can be based. The informal long-range plans of the library are a major consideration in budget formulation. The income and expenditures of the library are not budgeted on a program basis. The accounting system of the University and therefore the library's accounting system does not provide the information necessary for a fuller program budget. The new or expanded programs considered are studied and presented on a modified program basis. The value of a programmed approach to budgeting should be studied in relation to the costs that would be incurred. These could possibly include operation of a dual record system and greatly increased internal record keeping. The library must develop formal long-range plans before a PPB system could be utilized even if the cost benefit ratio is favorable.

The responsibility of budget control may be considered from several viewpoints. The director of libraries has the overall responsibility of controlling the budget. Within the library the responsibility for budget control is segmented by the budget area. The associate director for administration has the responsibility in the areas of binding, operating expenses, salaries, and equipment purchases. The heads of the Acquisition and Binding Departments have responsibility for controlling the expenditures for acquisitions and binding. The heads of the various operating departments are charged with controlling their use of student hours.

Budget information is provided on a current, regular basis in the area of student hours to the operating departments and the library administration. Information in the areas of operating expenses and salaried personnel is provided on an as needed basis to the library administration. The Acquisitions and Binding Departments accumulate their own budget information and it is available for the use of these departments and the library administration.

The budget process has a high priority within the total management effort of the UTK Libraries. The director and the two associate directors take active and central roles in the overall process. The budget process is used as a vehicle for both internal and external communication of the libraries' plans and needs. Adequate control of the budget is required by the campus administration and is maintained.

Recommendation

That the library administration continue to study and recommend changes in the funding formula as necessary to develop the most realistic basis for budget requests.

The developments of a realistic formula is of central importance in a budget system based on formula. The continual study of the formula is necessary to assure that it reflects the resource needs of the library as the library's role changes to meet changing academic needs.

That Library materials purchased with grant or research contract funds be purchased through the library and become a part of the collection. Any accountability requirements connected with grants will have to be a consideration in implementing this recommendation.

The library as the basic research resource of the University should have control of library type materials. This will insure that these resources are available to meet the needs of the entire University community.

That the library expand the channels of communication with the UTK administration.

That the director of libraries become a member of the Graduate Council.

That the library be represented on committees concerned with curriculum, planning, and any other area that has a significant impact on library activities.

The need for advance knowledge of and meaningful input into University plans requires that the library be involved in planning in the formative stages.

That the library continue to identify distinct community service programs and to quantify these programs as an additional justification for funding.

Those activities not related to the institutional and research programs of the University are not reflected in the formula derived funding requirements of the library. These activities need to be documented and recognized as "non-formula" needs or necessary revisions to the formula should be made.

That the library administration hold a budget hearing with the head of each department.

The use of budget hearings to discuss each department budget request should result in a better understanding of the proposals submitted. It will give administration an opportunity to clarify any aspects of the request that are not clear. The hearings may also result in exploration of new alternatives to accomplish the programs proposed.

That information be provided to the department head as to the deposition of their budget request within both the library budget request and the final budget the library receives.

The reply by the administration will insure that every request is considered and some disposition is made. This procedure should remove any feelings that the departmental input may be "lost in the shuffle." The replies should also indicate to the department head the reason for the action taken.

That a formal procedure to gather input from all levels of the library staff be included in the budget process. That the information about disposition of each department's request be disseminated to all departmental staff members by the department head.

The preparation of the budget is a major short-range planning activity within the library. The participation by as many staff members as possible has several advantages. It provides a good method for gathering new ideas and approaches to problems. The staff can become much more committed to the plans that are developed if they have had meaningful input into the plans. The information about what action was taken on the budget requests is important to maintain interest. This procedure should avoid the problem of input into a void. The involvement of the staff in these areas may have two very positive effects. It may provide an expanded source of new ideas and alternatives and also improve the commitment of the library staff.

That the group designated as the library faculty be afforded the opportunity to react to the budget during its formative stage.

This procedure should result in increased participation by the library faculty and improve the direct communication between the library administration and the faculty.

That the planning framework being developed by the library should include the budget and the budgeting process as an integral part. The budget should be a financial expression of the library's plans.

To be a meaningful factor in the operation of the library, the overall planning effort must include the budget process. The budget provides a method for authorizing and initiating the programs that result from the planning process.

That greater use of a program orientation to budgeting become an area for further detailed study. The cost of gathering and accumulating the necessary information and the compatibility with the University's budget process should be the major problem areas studied.

The question of changing the system of budgeting at UTK Libraries is one that should receive a full analysis. Due to the technical nature of the problem and the interaction between the budget, management information and planning areas, the task force does not feel that it is within their scope to recommend a particular type of budgeting system.

That a further determination of the budget information needs be made. This should be a part of the overall management information requirements being studied by a separate task force in the study.

The area of budget information should be a part of the total management information system. The task force does not feel that making specific recommendations as to what information should be provided, to whom, and in what format is within the scope of this task force.

That performance standards be developed within the library for particular tasks. These would indicate achievements and contributions of certain operating units when analyzed on an aggregate basis. Tasks that are readily quantifiable should be studied first.

The development of performance standards should be of value under any type of budgeting system. The standards can be used to analyze performance, estimate the impact of an increase in the volume of activity and to "cost" proposed modifications.

STUDY TEAM REACTION TO THE BUDGETING TASK FORCE REPORT

As has been the case with previous task force reports, the Study Team recognizes a dichotomy of issues. The first being the external (UTK) situation and the second being the internal (UTK Libraries) situation. In regard to the former, the current lack of involvement of the library administration beyond the Deans' and Directors' weekly meeting restricts the library's ability to commit resources as accurately as possible to support the programs and service obligations of UTK. The UTK Administration should seek to involve the UTK Library Administration in program planning and development in order to increase the library's ability to allocate its resources to support these programs and services. It has been pointed out earlier that information becomes available informally to the libraries in regard to programs, but that the formal availability of these programs frequently comes in the later stages of development or as an accomplished fact. It is the feeling of the Study Team that the UTK Library Administration ought to be involved in any program or service development from its inception in order to provide the UTK Administration with accurate information as to the library's ability to support these programs presently and to provide some insight as to the library's projected ability to support existing and proposed programs in the future. It has already been noted that this involvement would provide the library with greater ability to plan its resource allocation.

Several elements of the task force report deserve reiteration. The most obvious issue to the Study Team in the task force report is the library administration's need to improve the internal budgetary process. The Study Team endorses these recommendations and wishes to repeat them: (1) The library administration ought to hold budget hearings with individual heads prior to the actual library budget preparation in order to achieve a clearer understanding of program proposals on both sides. (2) Departmental input to administration should also reflect a greater opportunity for the departmental staff to provide input to planning and preparation of the departmental budget. (3) It is recommended that information be provided to the department head as to the disposition of their budget request within both the library budget request and the final budget the library receives.

Two other general remarks on the library budgeting program deserve emphasis. First, the budgetary process ought to result in a financial expression of library planning activities. This should be taken into consideration during both the budgetary process and the library planning process, as well as during any review of either of these two processes. Second, while the Study Team recognizes the fact that the UTK Library must operate within the framework of the UTK Fiscal Policies & Procedures, it endorses the position of the task force that the UTK Library Administration pursue the possibility of developing greater program orientation of the budget taking into account the inherent cost of this process to the libraries.

MANAGEMENT INFORMATION TASK FORCE REPORT

The library administration is aware of and concerned with management information needs; it also indicates it needs to develop greater sophistication in understanding present information sufficiencies and deficencies. In keeping with the Director's philosophy towards total systems approaches, i.e., given existing expertise and manpower constraints, total systems approaches are extremely expensive and rarely successful, the library administration does not have a comprehensive, unified set of methods, techniques, and procedures for collecting and using information. Rather, it has endeavored to identify and anticipate those types of information essential for effective decision-making, especially in the areas of budget, personnel, and support services.

The nature of management decision-making in the library is self-consciously consultative rather than participatory. A three-man administrative committee (the Director and two Associate Directors) meets weekly to review developments, make decisions, and plan programs. Their tasks are facilitated by information obtained at the monthly Department Heads' meetings. The Heads group is deliberative and consultative. Each Head is expected to discuss developments at the Heads' meetings with his staff within three days of those meetings, thereby obtaining further data and potential input. Additionally, all staff members have access to top administration for consultation and discussion without necessarily having to go through channels. In theory, then, all library staff are involved in this consultative process. In reality, however, at both the departmental and the interdepartmental levels, there is enough reluctance on the part of staff members to voice concern or provide information to cause the Director to express concern that the Administration is not receiving all the information it could profitably use.

A number of documents might be considered as major management reports. Among them are the annual reports of each department and the annual report of the library itself. The annual budget request, the monthly and annual service statistics (circulation, reserve, interlibrary loan, reference), and the annual performance evaluation reports also fall within this category, as do the Controller's annual Budget Analysis, the University Treasurer's Budget Analysis Report, the Book Budget Expenditures (Monthly Fund Report), and the Student Hour Control Reports. These are made available to all staff who might conceivably need to make use of such information.

On the basis of the Task Force's application of the ARL principles and criteria in the analytical tables, certain strengths and weaknesses in the library's present methods of collecting and using management information became evident. Essential quantitative information does seem to be available, but other

sorts, the need for and/or usefulness of which is not always readily apparent, are not, viz. detailed profiles of user population, unit cost/unit time studies or statistics, book replacement cost statistics, functional area costs, and collection development statistics. In the area of qualitative data, the library enjoys the benefits of the availability of annual departmental reports, personnel evaluations, policy statements (which are not yet, as of this writing, fully collated, collected, and indexed, although they are promised to be so), reports of ad hoc committees, and minutes of Heads' meetings. Weaknesses exist due to the limited solicitation of patron response to library programs and services and the lack of administrative reports in the form of minutes of the Administrative Committee (Director - Associate Directors).

Present reporting methods seem to be effective except insofar as library staff often do not collect and report statistics enthusiastically because they do not fully understand and appreciate the usefulness of such statistics. Certain information needs are not now being adequately met; these are dealt with specifically below.

Although the Task Force cannot argue with the ideal of the Library having an organized means of securing the necessary quantitative and qualitative information to achieve operational control and to support an effective planning program, it stops short of recommending that the Library immediately adopt one or even that it conduct a full-blown study with a view towards adopting one. In the absence of a comprehensive planning program ("Master Plan") in both the University and the Library, to do so would be an exercise for its own sake. The task force does recommend that the Library study what use it might make of management information it now has but does not use effectively, such as annual service statistics and performance evaluation reports. It also recommends that the Library determine if information it is not now gathering regularly could be useful for decision-making and management. (See Specific Recommendations 1 and 2).

Because a great deal of planning and managerial decision-making originates at the apex of the administrative hierarchy, the Task Force recommends that minutes be kept of the regularly-scheduled Administrative Committee meetings. These minutes would record ideas, transactions, and decisions and would be of obvious benefit, not only to staff members and department heads, but also to the Administrative Committee itself as an important reference source. (See Specific Recommendation 3).

The Library relies heavily on the Report of the University Treasurer, but that document is not timely enough to permit its efficient use by the Library, e.g., it is not available when an immediate decision must be made on expenditures for books, supplies, and auxiliary services at the end of the fiscal year. The Task Force therefore recommends that the Library Administration exert

maximum pressure on the University Administration to provide it with expenditure reports on a more timely and more flexible basis. (See Specific Recommendation 4).

Based on interviews with Library Administration and key personnel, the Task Force finds the financial accounting system satisfactory. Because responsibility in this area is fragmented and diffused, however, we feel that this function should be the responsibility of one person or office. A budget officer should be made responsible for all centralized information concerning financial accounting and control. (See Specific Recommendation 5).

The level of sophistication in identifying and analyzing costs for library activities is not very high, despite the views presented in interviews. We do not know, for example, how, for what, for whom, or under what circumstances analyses of capital expenditures are made. It is only sometimes possible to identify the costs of general operations and never possible to identify unit costs. The Task Force feels, therefore, that investigation be made to determine whether more detailed information concerning analyses of major and capital expenditures, general operating expenditures, and unit costs is necessary or desirable now and/or in the future. (See Specific Recommendation 6).

Although the Task Force found that adequate information is not always prepared on the flow of library materials for purposes of operating control, it does not view this situation with alarm because technical services operating control is very efficient due to the lack of cataloging backlog and the near lack of acquisitions backlog. The Binding Department does have some information needs which it says are not now being met; these may possibly be faults in the communications network rather than lack of management information, but the Task Force does recommend that these problems be investigated. (See Specific Recommendation 7). It also suggests that the efficiency of technical services in general might be improved if an individual were made responsible for information flow in this area. Therefore, the Library should investigate whether the appointment of such an individual or the assignment of such duties is necessary or desirable to improve efficiency. (See Specific Recommendation 8).

Modern management theory suggests that "management information should provide marketing-like data on the use of library materials, services, and resources." Ways in which this might be achieved are through the development of user population profiles (size, composition, and growth trends); the knowledge of types of library use (instructional, research, or recreational); the availability of data on the use of materials by volume, form, and facility; and the preparation of use projections. An automated circulation system at the Undergraduate Library became operational in January, 1973. The potential of such systems for collection use statistics and user profiles is currently being explored. As that circulation system is extended to Main and other libraries, further management information in the area of public services will be developed. The only partial knowledge of use of materials by form does not strike the Task Force as

significant. Although planning information is limited, and although user statistics at present do not seem comprehensive enough to support a total planning effort, e.g., use projections, user profiles, and instructional information needs, the Task Force does not make any specific recommendations in the area of Public Servies in view of the known complexity of developing and using techniques for gathering such information.

There has been vast improvement in the area of personnel management information by the addition to the Library staff of a personnel officer. Although certain shortcomings were noted by the Task Force as concerns management information in this area, the situation promises to improve constantly over time. Hence, no recommendations are made.

The Task Force agrees in principle that management information from the major functional activities areas of the Library should be coordinated. It also feels that it can be "over-coordinated" with the danger of becoming an end in itself. The Library should investigate the area of coordination of management information. (See Specific Recommendation 9).

Specific Recommendations

1. An examination should be made of greater potential use of existing management information, especially for planning and for program evaluation.

2. An examination should be made of the potential usefulness of information the Library is not now gathering regularly. Such a study might look at what other libraries are doing and at what practice and the theoretical literature suggests.

3. The Minutes of regularly scheduled Administrative Committee (Boss-Abel-Shipman) meetings should be kept and distributed to all library staff members. Not only would it provide important information for all library staff and make them aware of the content and form of administrative decision-making, but it would also provide this committee with an important management information document for referral and dissemination.

4. The Library Administration should explore with the University Administration the possibility of developing more timely and more flexible expenditures reports.

5. The budget officer should be made responsible for coordinating all information concerning financial accounting and control.

6. Investigation should be made of whether more detailed information concerning analyses of major and capital expenditures, general operating expenditures, and unit costs is necessary or desirable now and/or in the future.

7. The information needs of Binding should be investigated and acted upon.

8. A study should be made to determine whether an appointment should be made of an individual responsible for administrative and technical or support services information flow. Such a study would attempt to determine whether such an appointment would improve efficiency and provide data whose usefulness is not yet known.

9. The Library should examine the feasibility of developing greater coordination of management information.

STUDY TEAM REACTION TO THE MANAGEMENT INFORMATION TASK FORCE REPORT

A review of the Management Information Task Force report indicates that there are two basic areas of strength in regard to management information within the UTK Library System. They are budgetary reporting and library usage reporting. The task force report indicates that the areas of salaries, operations, equipment, binding, and books receive fairly close attention throughout the fiscal year and that information is reported to administrative officials within the library system on a timely basis. The second area, usage of libraries, receives a fairly high rating because of the extensiveness of the reporting system and the information reported to administrative officials. The task force indicates that frequently this report suffers because of a lack of staff understanding and sympathy for this process.

The study team's reaction to the weaknesses in management information and the remainder of the task force recommendations is best prefaced by the first sentence of the final paragraph of the task force report. That sentence reads as follows:

> "The task force agrees in principle that management information from the major functional activities areas of the library should be coordinated."

This would appear to be the key to the overall issue of the provision of adequate management information within the UTK Libraries if management information is to be regarded as the process of securing and analyzing information on library activities required for management control. The major weakness is that there is no central coordinated flow of information to the library management. The study team recommends that all management information be coordinated by one administrative official. Further, this official or office should be charged with the responsibility for identification of existing information generated throughout the UTK Libraries in order to ascertain what levels and to what degree of sophistication information is currently being provided to which offices. Until central coordination is acieved, the generation of information within the UTK Libraries remains only that and cannot become a management information system. Centralized coordination ought to result in an identification of UTK Library administrative requirements for information. Further, it ought to result in an identification of voids in the information flow. Examples pointed out by the task force and recommended for further investigation are: user profiles, information in regard to collection use by classification or discipline, and time/cost study information in several areas. Further, the information flow on technical services ought to be developed now while no backlogs appear

and appropriate amounts of staff time and effort can be devoted to this process. (If the acquisition rate increases with a new budget as anticipated, it will become increasingly difficult to spare the time necessary to develop this system.)

The study team feels that it is difficult to challenge a recommendation or a lack of a recommendation in regard to specific areas of possible information flow, but does recognize the need for the coordination of all information systems within the UTK Libraries. What may be important for a study team or a task force in regard to information may not at all be important to the coordinator of information or the UTK Library Administration. The study team feels that all the areas touched upon by the task force merit investigation, but that coordination of management information flow is the key issue and recommends that the library administration take steps to achieve this coordination and identification process.

CHAPTER V

ORGANIZATION TASK FORCE REPORT

The Task Force on Organization identified its task as being three-fold: to describe the present organizational situation of UTK Libraries, to analyze and evaluate the present situation based on ARL manual guidelines, and to make recommendations for improving the present organizational structure.

Description of Present Situation

A review of the UTK Library organizational charts and staff rosters from 1943 to the present indicated relatively few major organizational changes. (See organizational charts following report.) In 1946 the title of the top library administrator was changed from librarian to director of libraries. The director of libraries originally reported to the dean of the University, whose title was changed to vice president. With the creation of the position of academic vice president (now vice chancellor for academic affairs) the Library fell under his responsibility. From 1943 to 1945 all departments and branch libraries reported directly to the director of libraries. In 1946 an Order and Processing Department (including cataloging division, order division and periodicals and binding division) with its own chief who reported to the director was established. From 1947 to 1951 there existed a Reader's Division and an Order and Processing Division, each with a chief who coordinated related activities and reported to the director of libraries. In July 1952 the position of associate director of libraries was created. From 1952 until fall 1970 all major departments and branch libraries reported to this associate director who reported to the director of libraries. In November 1970 a reorganization provided for an associate director and an assistant director, each over specified library operations, who reported to the director. In July 1972 this was changed to provide for two associate directors. Since November 1970, Acquisitions Department, Processing Department and Law Library have reported directly to the director of libraries.

Study of the organizational charts also revealed changes in the branch library situation. In 1954 the Chemistry and Physical Science Libraries were combined as the Science Library. The Education Library which opened in March 1957 was incorporated into Undergraduate Library Collection in June 1971, and the Business Administration Library which opened in September 1958 was incorporated into Main and Undergraduate Library Collections in the fall of 1969. The Undergraduate Library, operating as a division of Main Library from fall 1959 to end of summer 1969, opened in its own building in the fall of 1969. The newest branch library is the Music Library whose operation was assumed in July 1971.

UTK Libraries is organized with the director of libraries, who is ultimately responsible for the entire operation of the library system, as the chief library administrator. (See organization charted dated Jan. 4, 1973). He is responsible to the vice chancellor for academic affairs. The prevailing organizational philosophy is that of consultative management. The director of libraries is assisted by two associate directors each of whom is in charge of designated areas of library activity. These three administrators make up the library's top management team. Their weekly meetings serve to help formulate policy, coordinate library activities, and plan for the future as well as to make decisions which effect daily library operations.

UTK Libraries organization follows a functional type arrangement with departments organized to provide for acquisition, binding, cataloging, circulation, interlibrary loan and reference functions. In addition there is an auxiliary services unit, a systems analyst, a controller and an administrative assistant for personnel. Seven branch libraries located across campus and Special Collections at Main make specialized subject collections more easily accessible to the user.

Although not specifically designated as such, on first observation it appears that one associate director is responsible for services most commonly referred to as Reader's Services while the other associate director is in charge of Technical Services. Upon closer observation it becomes apparent that one associate director is indeed concerned with most areas of Reader's Services but the other associate director is in charge of auxiliary type services and some technical services while Acquisitions and Processing Departments and Law Library report directly to the director of libraries.

According to the director of libraries there are no standing library committees. Ad hoc committees are appointed when a need arises and are dissolved when their task has been completed. Two ad hoc committees, the Scope Committee and the Orientation Committee, have been meeting for some time, but these too will be dissolved upon completion of their respective charges. Committee members are appointed at the heads meeting, are given a charge, and report results of their investigation to a later heads meeting. Some staff feel that many issues are dropped after the committee report has been made without action being taken. Director Boss reports having recourse to two library advisory groups: monthly heads meeting and weekly meetings with selected staff. All persons occupying positions shown on the UTK Organizational Chart as of January 4, 1973, with the exception of supervisor of duplication, attend the monthly heads meeting. Both library faculty and support staff are invited in small groups to meet once a week with the director. A Faculty Senate Library Advisory Committee, composed of faculty members, with the director of libraries as chairman, relates the library's collection and services to University curriculum, research and service.

Each department and branch library was asked to submit a departmental organizational chart. (See attached.) Some of these charts were readily available while it was evident that others were drawn up merely to fill this request. Very little division of labor or delegation of authority was evidenced by these charts. In fact, Processing Department showed every one in the department, including student library assistants, reporting directly to the head of Processing Department. Many departments are so small that this lack of delegation of authority does not present a problem, but larger departments might well function more effectively if departmental organization were studied with the view of reorganization.

Because of the emphasis placed on use of Likert Profile of Organizational Characteristics in the ARL Manual, the task force agreed to recommend administering the Profile to the staff. Meetings were held with the Task Force on Leadership and Supervision, which also wanted to administer the Likert Profile, and with George Shipman, chairperson of Study Team, to work out details involved in administering and scoring the Profile. As the work of the task force progressed, it became more and more evident that the value of results of Likert Profile to the Task Force on Organization had been over-emphasized. Because of time and money involved in administering the Likert Profile of Organizational Characteristics, the Task Force on Organization strongly recommends that the chapter on Organization in ARL Manual be re-written and much less emphasis be placed on use of Likert Profile.

Evaluation of Present Situation

Principles of organization as identified in the ARL Manual were applied to UTK Libraries organization through use of the analytical tables given following the chapter on Organization in the Manual. Results of the Likert Profile in the areas of decision making and internal communication were used in analyzing organizational effectiveness in these areas.

UTK Libraries have generally played a passive role in University development but have been quick to respond to demands of University programs. The director of libraries and his staff have not been actively involved in overall University planning. Tradition and day-to-day work pressures have precluded out of library awareness. Because the Library is responsible for serving the research and teaching needs of the entire University community, the director of libraries must be involved in long range University planning and development. The director of libraries should be a member of the Graduate Council. His inclusion in meetings of deans and directors is a step in the right direction. As the University Master Plan is developed, the director of libraries must be involved if the Library is to take its rightful place as a vital and integral part of The University of Tennessee.

UTK Libraries are organized to encompass all basic library programs and usually groups them effectively. The library activities are not grouped according to resource, service and support areas, however. The Library is more traditionally structured with activities grouped into areas of public or reader's services, technical services and auxiliary services. The most glaring discrepancy in this arrangement is in the area of technical services. The Processing and Acquisitions Departments report directly to the director of libraries while other areas involved in technical services report to an associate director. There appears to be little coordination of activities within these areas and duplication and overlapping of work responsibilities often result. Reorganization with related activities grouped under the same administrator would result in more efficient coordination and integration of these operations and could result in budgetary savings. Departmental organizational charts in these same areas indicate a need for reorganization within the departments. Too much responsibility is vested in the head of the department. Delegation of authority and division of work responsibilities would result in more efficient operations.

There is a vagueness in the assignment of responsibility for maintaining a working relationship with the academic community. The Library staff has not generally assumed the initiative in faculty contact. Most contacts are made by the director of libraries. When a need presents itself there is a concerted effort on the part of the Library to deal with it. The Library administration is now encouraging staff members to become actively involved in University affairs and to serve on University wide committees. Until recently librarians have remained aloof from University involvement. For the Library to take its place as the very heart of the University, every librarian must assume his role as a member of the University faculty and become particularly interested in areas of curriculum development and planning. The Library can not operate in a vacuum. The addition to the staff of a person whose responsibility it is to assist faculty and students in library use can do much to create a library awareness throughout the University community.

Until very recently, little has been done to develop or recognize staff specialties. The Undergraduate Library is developing its staff into specialists in certain areas. Main Reference is recruiting staff with subject expertise, and branch librarians are developing into specialists in their respective areas of responsibility. Acquisitions and Cataloging Departments are especially aware of the need for language specialists. Little effort has been made to publicize existing staff specialists to faculty and library staff. To utilize these specialists to the fullest, they must be available to deal directly with faculty and students regardless of their library assignments. A staff member's special expertise should be utilized throughout the Library organization. Present day work assignments and scheduling often make this impossible or unrealistic. Reorganization should provide for making the greatest use of staff specialized knowledge and skills.

UTK Libraries operates on a consultative philosophy of management. Until recently decision making was done at the top and decisions were handed down. Through committee participation the Library staff (both academic and support) is

being given an opportunity to share in the decision making process. Staff input is invited through heads meetings, committee meetings, individual contacts, suggestion box and written requests. Many of the staff need to be educated to the new method of management. Some can't believe their input is really wanted. Lack of committee know-how causes problems in committee participation even when charges are clearly given. A well organized staff development program to educate the staff to participate in committee work would be valuable. Departments seem more hesitant to encourage staff input than does the Library administration. Involvement of staff in decision making on the level with which they are most familar should be encouraged.

The present organizational structure of UTK Libraries brings together under the same associate director most public service related activities. Technical service activities are not coordinated by one administrator. Acquisitions and Processing Departments report directly to the director of libraries while Binding and other technical service type activities fall under the administration of an associate director. The director of libraries should be free from problems arising from day-to-day operations of individual departments. His attention could more profitably be spent on matters of library wide concern. The coordination of related technical activities under one administrator would result in closer working relationships between departments and less duplication of effort. Departmental organizational charts indicate a need for reorganization and larger departments exhibit a reluctancy to delegate authority. As the Library gets larger and the tasks more involved, this concentration of authority in one person does not appear to be the most efficient means of operation.

UTK Libraries stresses service to users. Open stacks at Main Library and branch libraries offer easy access to library resources. Branch libraries are located across the campus so that specialized subject collections are housed where disciplines are taught. Professional services are provided when a need is exhibited. Due to limited funds and staff, professional services are offered on a limited basis when demand is least. Branch libraries are manned almost entirely by student help on weekends and at night.

Library users are often confused by the branch libraries. The Scope Committee is attempting to define the limits of various collections. The proposed new Science/Technology Library incorporating Science, Biology, and Engineering Libraries, should help by combining scientific resources in one collection and by eliminating costly duplication of materials. The term Main Library itself is often misunderstood and is especially confusing when incorrectly referred to as the Graduate Library. Just what is special about Special Collections is perplexing to the casual library user.

Adequate points of information and orientation are not always provided for the user--especially at Main Library. One enters the Main Library on a level at which no service point is readily accessible. Little help is provided in the public card catalog area. New directional signs at Main and Undergraduate are an attempt to alleviate the problem. An information desk on first floor of Main Library would

provide better assistance. Because of size, this is not so great a problem at branch libraries.

The organizational structure of UTK Libraries provides for a reasonable span of control at the top administrative level. Having the director of libraries deal directly with the heads of Processing and Acquisitions Departments seems out of line. The two associate directors are each responsible for defined areas within the library's operations. Departmental organization evidences problems with span of control. Department heads and supervisors are often in these positions because of knowledge of the job to be done rather than because of special managerial training. They seem reluctant to relinquish authority. Departmental reorganization which provides for supervisory assistants who report to the department head should provide for more efficient operation. The provision of managerial training in staff development programs could improve library organization.

According to UTK Libraries organizational chart there are few defined breakdowns past the department or branch library level. Only UGL, Law Library, and Acquisitions Department charts show defined sub-divisions within the units. Administrators in charge of departments and branch libraries appear to have equal status while in reality there is a difference in responsibilities and duties. The monthly heads meeting is made up of all persons whose position appears on the organizational chart except for the supervisor of duplication. According to the library staff directory only the head of Processing has the title of department head. Most unit administrators have the title of librarian of that particular unit while three unit administrators are called supervisor.

Only limited avenues exist for advancement and pursuit of non-administrative career goals. Day-to-day work pressures often prevent persons from pursuing acitivities that appeal to a creative librarian. Released time for writing, planning, consulting and advanced study is permitted but not always openly encouraged. To utilize staff potential to the fullest, recognition must be given to those with specialized skills or accomplishments.

Recommended Plan of Organization

After studying and evaluating the organizational structure of UTK Libraries, the Task Force on Organization proposes a reorganization which it feels will facilitate the meeting of library objectives, assure the building and maintaining of an outstanding collection and provide services vital to the University community. The proposed reorganization provides for three major organizational groups. Resources Group, Support Group, and Services Group. The success of the proposed plan demands that these three groups work closely and cooperatively. Some changes could be implemented immediately while others would have to be put into effect gradually. (See attached charts).

It is recommended that the UTK Libraries continue to be organized under a single top administrator, the director of libraries. Because the Library is a vital and integral part of the University of Tennessee, the director of libraries must be involved in curriculum development and long range planning. He should be made a member of the Graduate Council and be actively involved in the development of the UTK Master Plan. As the top Library administrator, he will provide professional leadership and executive direction to the University libraries. Increased number of staff, increased programs and services, the size of the operating budget and the size of the collection have augmented his responsibilities. He should be free from having individual departments or branch libraries report to him directly so he can devote his attention to matters of general library concern.

In the proposed reorganization, the traditional divisions of activities between public and technical services is not rigidly followed. Activities are redistributed and expanded in concept. Perhaps the greatest change is the creation of a Resources Group, headed by an associate director. This group would be comprised primarily of professionally trained librarians who would be charged with the development, organization and utilization of all UTK Libraries resources.

The Collection Development Division would have as its chief responsibility the development of a collection of materials necessary to support all instructional and research programs of the University. A selection policy would need to be formulated. For too long library collections have grown not through a planned process but rather through uncoordinated part time efforts. Much emphasis is placed on the number of volumes in a collection, but the matter of size is not necessarily an index to the degree of adequacy with which the collection meets the need of an institution.

Systematic building of a library collection involves more than the acquiring of available resources. With the massive and rapidly increasing body of knowledge it is becoming impossible to meet the institution's needs without the aid of specialists. Selection as opposed to acquisition becomes the key to collection building. The collection must be continually examined and evaluated in relation to comprehensiveness and ability to meet the University's needs. This division would be staffed by highly qualified librarians with subject specialties who would provide selection and collection building services. The work of these librarians would by no means be confined to checking bibliographies. They would work closely with faculty who would be encouraged to continue their traditional participation in book selection. These contacts between faculty and librarians would do much to create a positive image of the Library. Close working relationships with branch librarians would be a must. Present staff can be developed along lines of subject specialities and an effort be made to recruit librarians with specialized interests. A quality collection to support expanding teaching and research programs could be built through a systematic collection development program.

Also included in this group would be activities concerned with original cataloging of library materials. By having collection development and original cataloging in the same group, subject expertise can be best utilized. The same subject specialist

who has decided that the material should be added to the collection can use this same knowledge to catalog or help catalog the materials. Duplication in searching and verifying can be eliminated. This Bibliographic Control (or Original Cataloging Division) should exercise administrative control over cataloging activities in all areas of the library system.

The Reference and Research staff would be made up of librarians who can provide in-depth reference service. They should be given flexibility to perform without burden of rigid desk schedules and less complicated information requests. Their time would be spent working with faculty and students on specific instructional and research problems, compiling bibliographies, relating library resources to instructional programs and coordinating reference services in branch libraries. These reference librarians would work closely with those involved in development of the library collections.

Throughout the study, the advisability of creating a library instruction program has emerged. This program could best be headed by a librarian with training in educational psychology and teaching methods. This person must be free to devote his time to developing an effective library instruction program for the entire library system. Although much instruction will be done with the undergraduate student, assistance must be provided for all students and faculty. Library instruction must be made a relevant experience and should aim at providing students with library skills and bibliographic sophistication for life-long independent work. The person in charge of library instruction would take the initiative in contacting faculty and publicizing services the Library is prepared to offer. This librarian must be knowledgable of the entire Library set up and coordinate instruction in all areas.

The Services Group would be responsible for providing day-to-day library services at Main Library and all branch libraries. Activities of this Group would be coordinated by an Associate Director. The prepared reorganization provides for a person in charge of Main Library operation. It endorses the already proposed Science/Technology Library which would incorporate the Biology, Engineering and Science Libraries.

The Services Group staff would give direct assistance to the Library user. Included in their responsibilities would be answering directional questions, explaining Library rules and regulations, assisting in use of card catalog and other tools, answering ready reference and referral questions, circulating library materials, shelving and paging library materials, and providing collection security. The staff involved would need to be knowledgable about UTK library resources and be able to direct patrons to the services needed. Many of the activities of the Service Group could be carried out by well trained staff members who are not professionally trained librarians. Professional leadership would be needed for planning, overseeing and evaluating services.

The Administrative Support Group would also be headed by an Associate Director. This group would provide support services necessary for efficient operation of the Resources Group and the Services Group by providing business, analysis and record production services for all UTK Libraries. The Associate Director for Administrative Support would be responsible for coordinating the diverse activities of this group.

The Records and Materials Processing Division should be responsible for the actual acquisition and processing of library materials into the system and for producing bibliographic records -- including cataloging with available copy. The creation of a Bibliographic Searching Unit would do away with duplicated searching and verification procedures as is now carried out. An Acquisitions Unit would be responsible for the actual order and receipt of materials. The unit should be further divided into Monographic, Serials, and Non-print Materials sections responsible for maintaining records necessary to this operation. The Processing Unit would be concerned with cataloging for which copy is available, adding of continuations, production of catalog cards, catalog maintenance and actual preparation of materials for distribution to service units. As the Southeastern regional cataloging data base develops, less effort will be expended locally on cataloging and producing catalog cards.

Persons responsible for essential business related activities would report directly to the Associate Director for Support. Included under his supervision would be Financial Services Division, Personnel Division, Library Development Division, Systems Analysis Division, Preservation, Binding and Duplication Division and Facilities Maintenance and Supplies Division. Many of these auxiliary service divisions will be staffed by professionally trained persons who are not librarians. The fact that they are professionals within their fields must be taken into consideration in their appointment and status on the staff.

The Financial Services Division would be involved in budget matters and would be responsible for maintaining accounts and producing financial records. The Personnel Division would be responsible for producing and maintaining personnel records for staff members and for providing a planned staff orientation program. A Library Development Division would promote the Library as an intellectual and cultural force in the community. To be effective, the individual directing this work should actively cultivate all methods for promoting this image of the Library with the goal of attracting the support of influential individuals and organizations. The Systems Analysis Division would continue to be in charge of applying automated technology to UTK Libraries but would be expanded to include study of special UTK Library problems. The name Facilities Maintenance and Supplies Division better describes the division functions than does the present name, Auxiliary Services. This division would continue to be responsible for maintenance of equipment and physical facilities of all libraries and in so doing would have to work closely with UTK Physical Plant. It would also

continue to order, maintain, and distribute supplies necessary for library operations. Throughout the investigation the lack of coordination of technical services has been pointed out. As presently carried out, binding is part of technical services. The concept of binding is being expanded, however. It is becoming more a collection preservation process, and with this in mind, it is recommended that the name be changed to Binding, Preservation and Duplication Division with these expanded responsibilities and be included under supervision of the Associate Director for Support.

UTK Libraries top management team would be made up of the director of libraries and the three associate directors. Their concern should be for overall operation and problems of all UTK Libraries. The present weekly meetings of the top administrators should be continued.

The appointment of committees composed of library faculty and staff is a highly effective method of staff involvement in administrative decision making. To become even more effective, it is recommended that the need for appointing any committee be sufficiently discussed in heads meeting so that the subsequent charge to that committee may be clearly defined and understood. If committees are given a specific charge, a recommended course of action will be presented to the heads meeting for discussion. When committee recommendations are approved, implementation should be through the appropriate office or department. If this is done, there does not appear to be a need for standing committees.

It is believed that this plan of reorganization would result in closer working relationships and more efficient library operations for the UTK Libraries.

Recommendations

1. Greater involvement of the UTK Library Administration in overall UTK planning process.

2. Library development should be planned rather than geared to meeting emergency type demands.

3. Creation of a "library instruction" department, free from on-line problems and administrative detail, to actively work with faculty and students.

4. Effort should continue to discourage independent reading collections and departmental libraries and steps taken to incorporate existing ones into UTK Libraries whenever practicable.

5. Reorganize structure of technical services and auxiliary servies. (See proposed organizational chart.)

6. Define and clarify roles of various units so as to eliminate areas of overlapping responsibilities.

7. Encourage librarians to initiate faculty contacts.

8. Create a library instruction department to actively initiate contacts with faculty and publicize library services.

9. Clearly define and identify status and role of subject specialist on the library staff.

10. Through staff development program "educate" staff to committee work.

11. Establish and communicate charges, timetables, guidelines, goals, etc., for committees.

12. Technical activities of the UTK Libraries should be supervised and coordinated under the same associate director.

13. Organization of individual departments should be studied so that they may be organized in the most efficient way.

14. An orientation program should be developed for entire UTK Libraries system.

15. A library instruction department should be established.

16. Names of library units should be examined and defined so that their meaning is clear and understandable.

17. Adequate orientation and information points should be set up -- particularly at Main Library.

18. Continue efforts to develop leadership qualities in staff through staff development programs.

19. New organizational groupings with clearly defined leadership for each area of organization. (See proposed organizational chart.)

20. A managerial training program should become part of staff development program.

21. Administrators and department heads should analyze their operation and determine extent to which they are reasonably able to delegate authority.

22. Methods of internal communication should be evaluated.

23. Staff should be educated to participate in decision-making process.

24. Adoption of proposed organizational structure.

25. Establish similar titles for administrators with similar duties.

26. Arrange and designate units to convey appropriate status and dimension of responsibility.

27. Encourage active involvement with academic community to keep abreast of needs.

28. Openly encourage more released time for pursing activities (i. e. research, writing, consulting) which could result in special competence.

29. Establish a well-planned staff development program.

30. Give recognition to those who make achievements in particular fields.

STUDY TEAM REACTION TO THE ORGANIZATION TASK FORCE REPORT

The Phase V Task Forces encountered areas for review and analysis which are difficult to objectively review and analyze because of their relationships to the library's human resources. A person's feelings, aspirations, and relationship to organization are at stake and subjectivity is difficult to avoid. Keeping this in mind, the study team review of the Organization Task Force wishes to endorse the task force findings generally and seeks to elaborate on the recommended new organization.

The UTK Library is currently organized along traditional functional lines. There are three major division: (1) Public Services, (2) Technical Services, and (3) Administrative Services. Within each of these divisions exist major departments which are organized to address general traditional functions prevalent in a research library.

The task force has taken steps in its proposal which advance this trend away from tradition considerably. If one defines "function" as to mean the general output areas of the library organization (reference, acquisition, cataloging, etc.), then it seems possible to carry definitions a step down the hierarchy to "activity." Within each "function" it is possible to identify a series of "activities" necessary to achieve output for the function. Many of the same "activities" are currently being duplicated throughout the organization. They range from high-level professional "activities" to clerical "activities." In practically all cases, an administrator (frequently an experienced, well-trained professional) is responsible for monitoring this range of activities. In other cases, professionals are responsible (to one degree, or another) for the actual accomplishment of professional to clerical "activities." In others, non-professionals have the same breadth of responsibilities.

The implied recommendation of the task force and the explicit recommendation of the study team calls for a reorganization of the library along "activity" guidelines. The example of this type of organization provided by the task force is a good attempt at this process. It seems to make a great deal of sense to reorganize by "activity" because of the excessive duplication of activities throughout the library. This type of organization would appear to free administrators, heads, supervisors, and staff to concentrate on activities which relate more directly to their skills while allowing for greater depth in their endeavors. Hopefully, this type of organization would allow for an expanded professional or vocational experience for all levels of staff and not simply result in a more concise identification and assignment of activities, e.g., professional acquisition librarians would be more deeply and productively involved in the selection process, collection development, faculty liaison, etc.

The Study Team proposes that the library administration adopt this proposal utilizing the task force reorganization chart as an excellent example. It will be necessary for a subsequent study to confirm the identified functions and activities. Much of this information has been provided by the task force and will not require a great deal of time. As the task force indicates, anxieties are already developing on the part of the staff and must be allayed by prompt action.

In addition, the Study Team advocates formal organizational development below the department level to sections and units. The task force quickly discovered problems throughout the library where sub-departmental organization was non-existent. Basically, the problems were (1) departments exist with 20 to 30 people reporting to one (it is hard to imagine an individual effectively controlling a variety of functions with no supervisory assistance) and (2) communications (both horizontal and vertical) suffer greatly. Staff appear to have little opportunity or desire to interact with their head in this sort of situation. This can, and has (according to the Organization and Supervision & Leadership Task Forces) reduced morale to significantly low levels.

ORGANIZATIONAL CHARTS

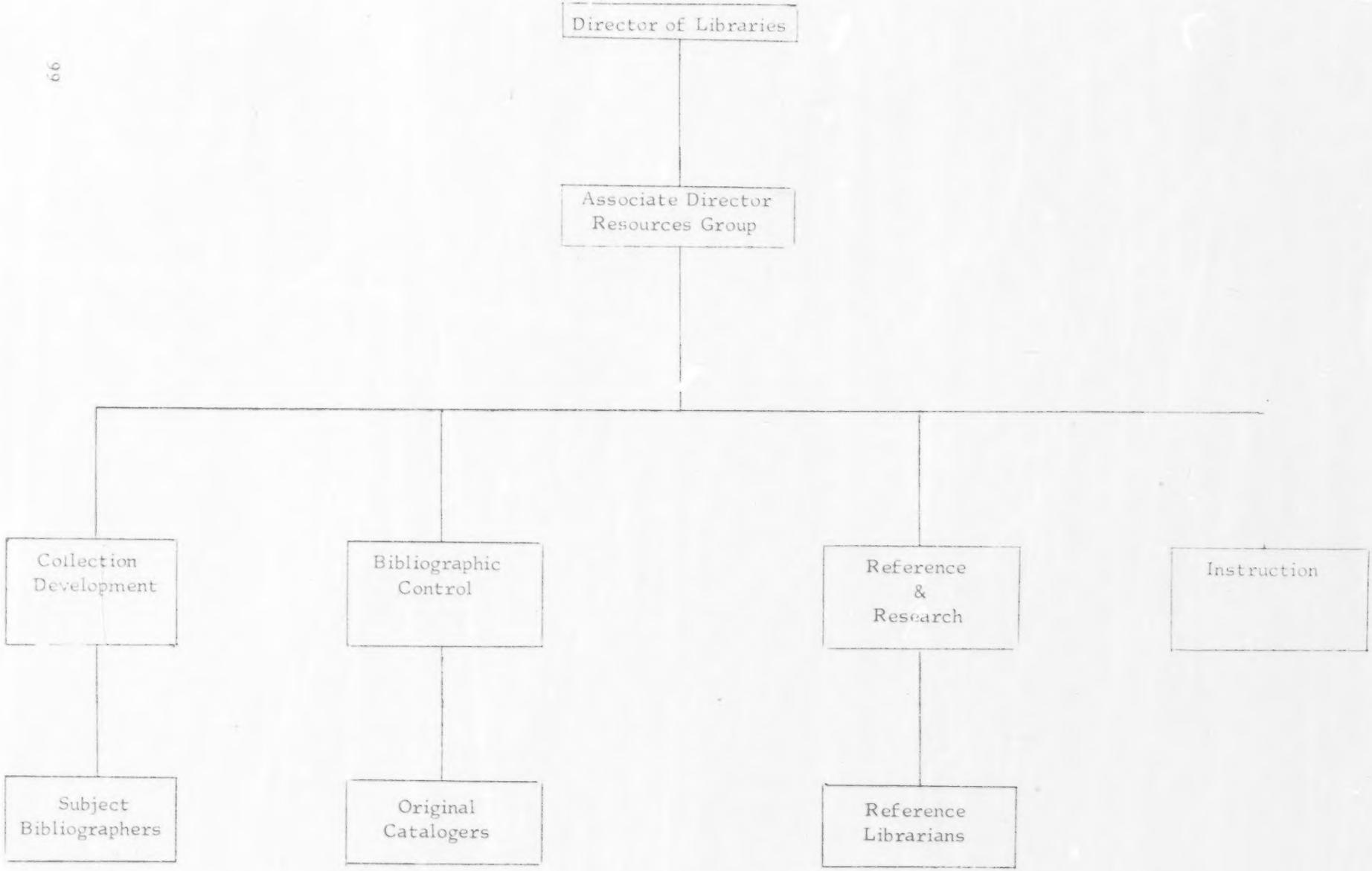
SHOWING

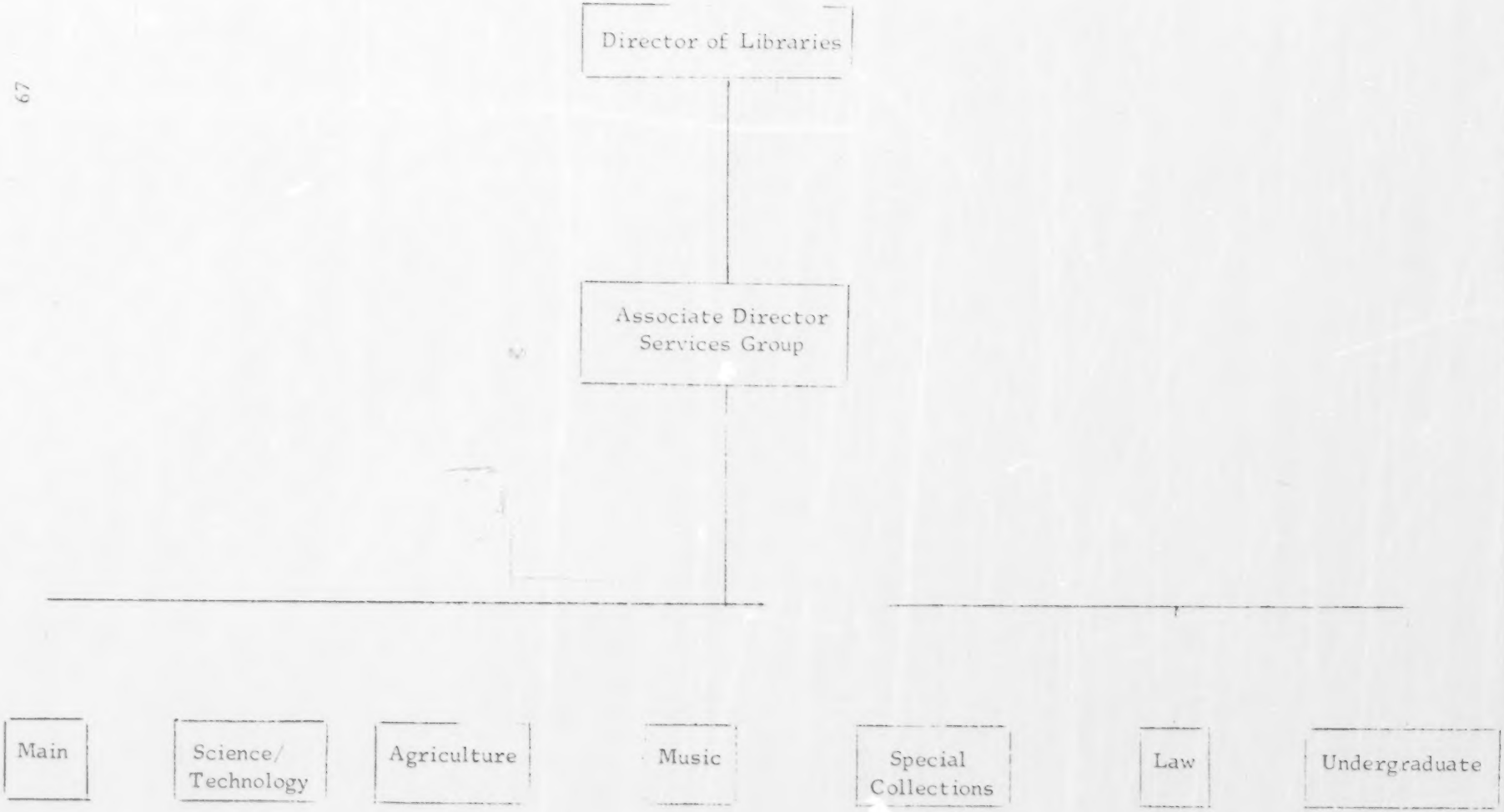
PROPOSED REORGANIZATION

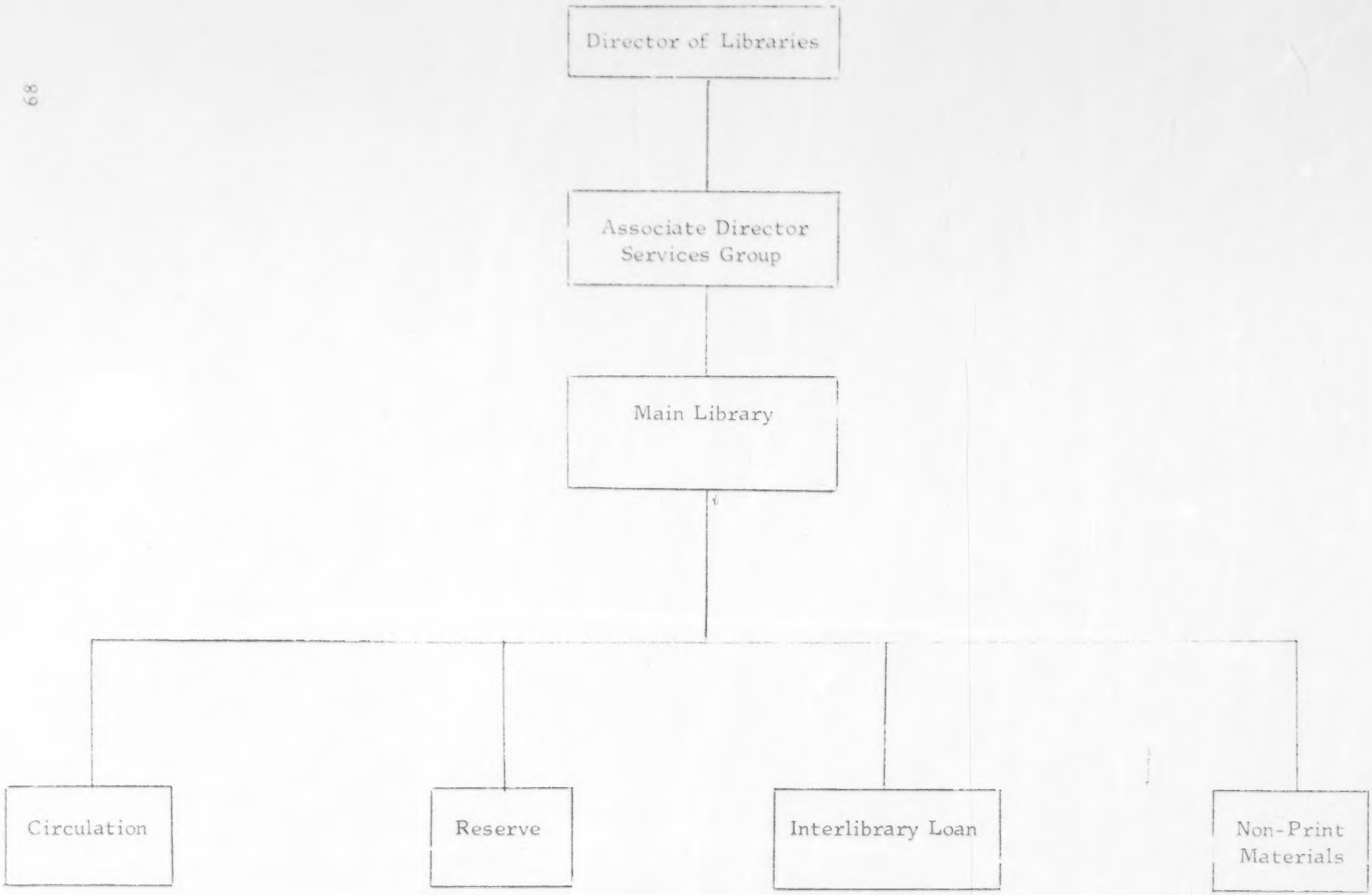
UTK LIBRARIES

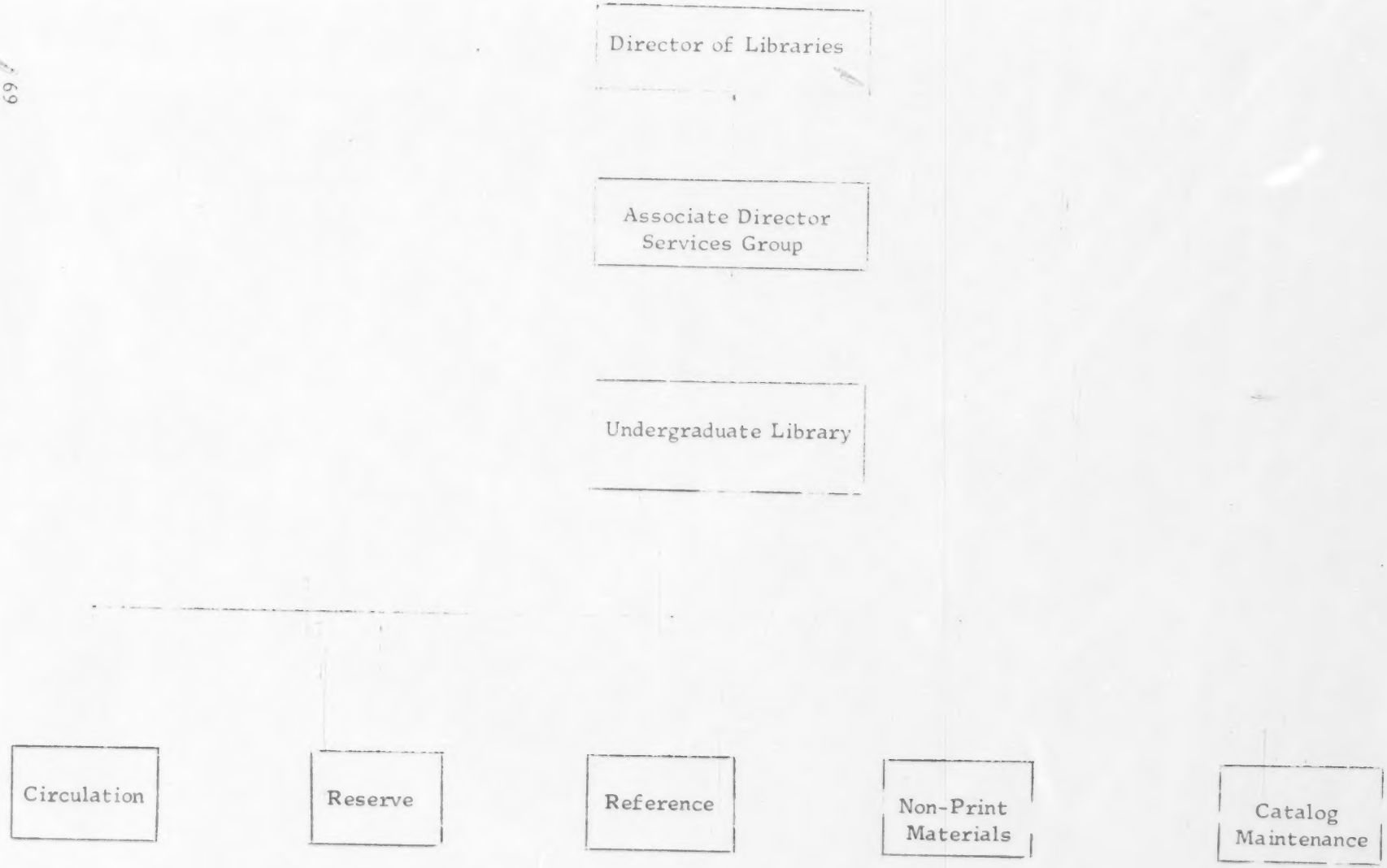
The Task Force on Organization met for many hours and drew up several possibiiities for reorganization of UTK Libraries before deciding on the final proposal. The attached charts illustrate their Proposed Plan of Reorganization for UTK Libraries.

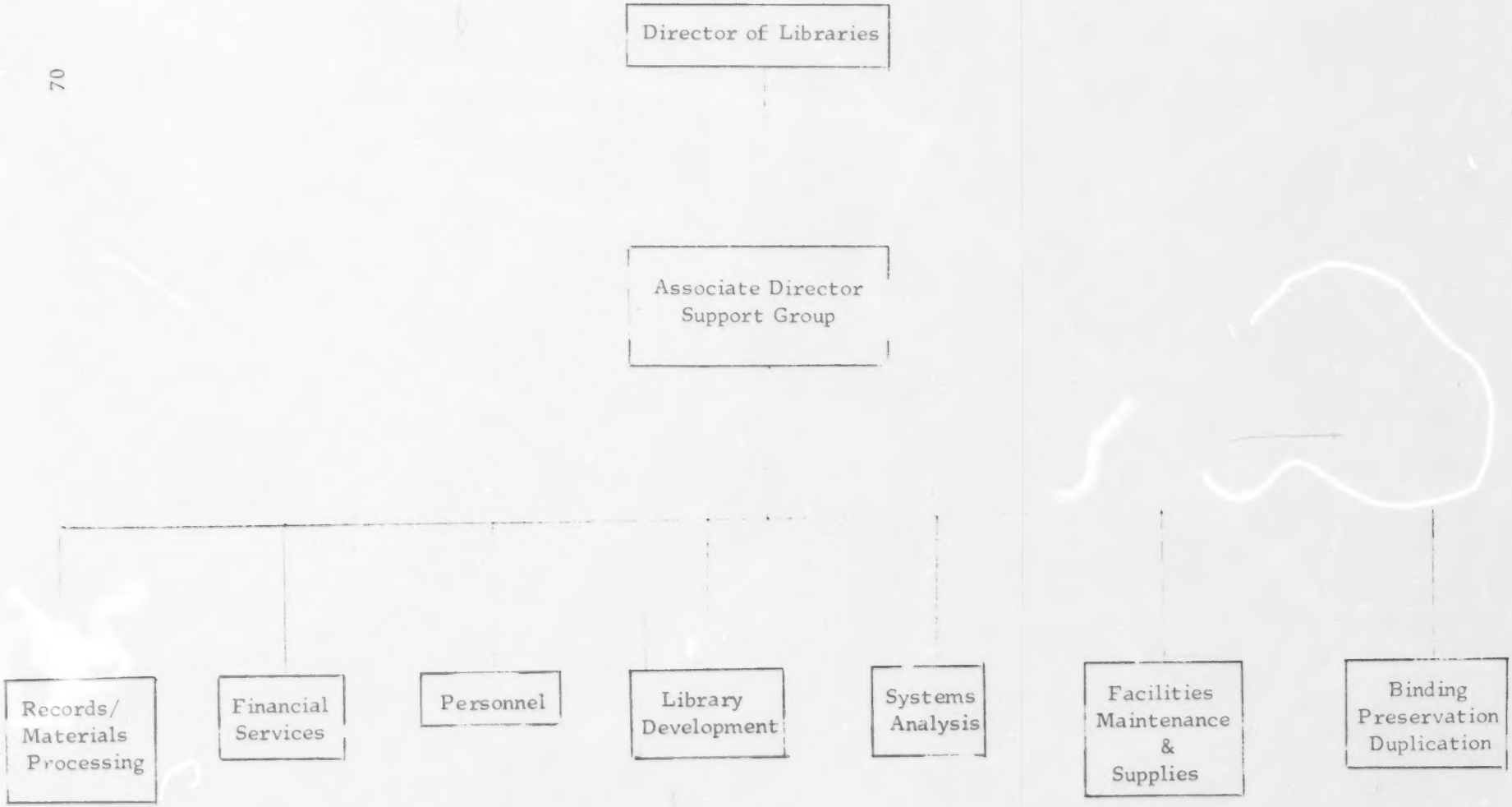
Director of Libraries
Associate Director Resources Group
Collection Development
Bibliographic Control
Reference & Research
Instruction
Associate Director Services Group
Main
UGL
Special Collections
Law
Agriculture
Music
Science/ Technology
Associate Director Support Group
Records/ Materials Processing
Controller
Personnel
Library Development
Systems
Facilities Maintenance
Binding/ Duplication

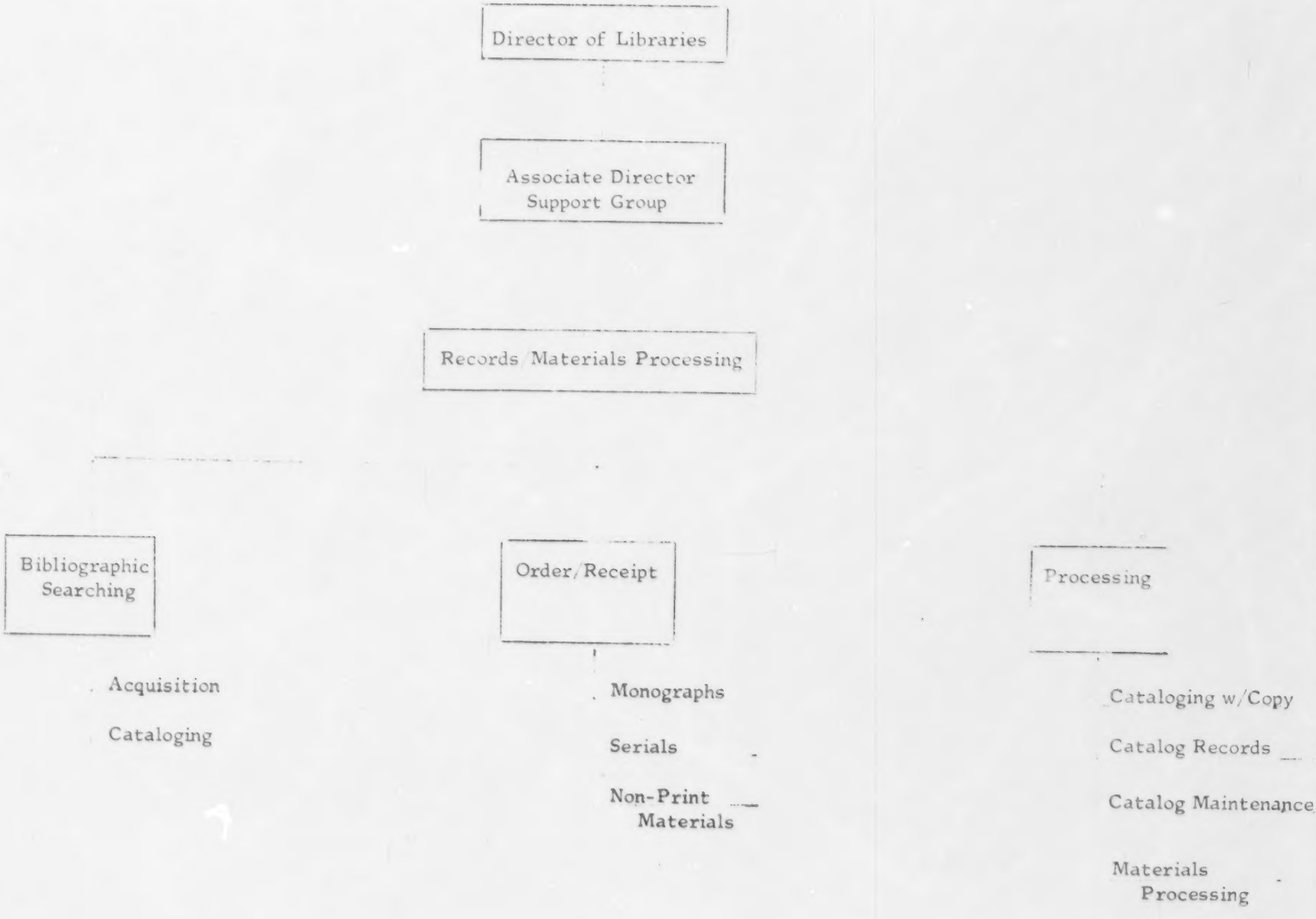

Director of Libraries
Associate Director
Resources Group
Collection
Development
Bibliographic
Control
Reference
&
Research
Instruction
Subject
Bibliographers
Original
Catalogers
Reference
Librarians


Director of Libraries
Associate Director
Services Group
Main
Science/
Technology
Agriculture
Music
Special
Collections
Law
Undergraduate


Director of Libraries
Associate Director
Services Group
Main Library
Circulation
Reserve
Interlibrary Loan
Non-Print
Materials


Director of Libraries
Associate Director
Services Group
Undergraduate Library
Circulation
Reserve
Reference
Non-Print
Materials
Catalog
Maintenance


Director of Libraries
Associate Director
Support Group
Records/
Materials
Processing
Financial
Services
Personnel
Library
Development
Systems
Analysis
Facilities
Maintenance
&
Supplies
Binding
Preservation
Duplication


Director of Libraries
Associate Director
Support Group
Records/Materials Processing
Bibliographic Searching
Acquisition
Cataloging
Order/Receipt
Monographs
Serials
Non-Print Materials
Processing
Cataloging w/Copy
Catalog Records
Catalog Maintenance
Materials Processing

SUPERVISION AND LEADERSHIP TASK FORCE REPORT

The terms used in the Management Review and Analysis Program Manual were vague and ill-defined. For the purposes of this study the Task Force on Supervision and Leadership has defined them as follows: Top Management and Senior Administrators -- The Director and Associate Directors; Administrators -- Department Heads; Middle Level Supervisors -- Supervisors below the department head level.

Leadership is the effective management and motivation of human resources toward the accomplishment of a goal. Supervision is direction, coordination, inspection and critical evaluation of the activities of subordinates.

UTK Library management seems to endorse a consultative style of management. The director's office appears to make a major effort to keep staff informed through prolific use of memoranda, reports, and the Library News Notes. Staff members are encouraged to present their reactions, problems, and suggestions either directly or through suggestion boxes. When possible the director holds periodic meetings with small groups of staff members in his office. The Library's major orders of business are brought monthly before a meeting of library heads, who are then instructed to report on the meeting directly to their staff within three days.

On a day to day basis the director and associate directors are responsible for the quality of supervision and leadership in their respective areas. However, those under them do not always understand their task as supervisor and the role as leader. In the absence of a codification of policy and procedure, department heads must often go to their administrator for advice. Also, since departments of similar concern sometimes report to different administrators, there is some inconsistency in administration.

In those large departments where supervisors below department head level are specifically assigned an area of responsibility, their role as supervisor is generally understood. However, there is seldom an attitude of leadership at this level and the supervisor generally sees his role as getting the job done and mediating the conflicts between employees and the organization. There are still some large departments in which all employees report directly to the head. This situation discourages staff from approaching the head with their problems, monopolizes the heads valuable time with minor personnel tasks, and leaves senior professionals in the dark about their responsibilities during the head's absence. According to W. C. H. Prentice "an ideal organization should have workers at every level reporting to someone whose dominion is small enough to enable him to know as human beings those who report to him."[1]

---

[1]Prentice, W. C. H., "Understanding Leadership," Harvard Business Review, September - October, 1961.

Therefore, the task force recommends:

1. That large departments be subdivided into smaller leadership units and that middle-level supervisors be specifically assigned.

2. That the supervisory and leadership duties of supervisors at all levels be specifically defined in their job descriptions.

3. That Library Administration consider the possibility of reorganizing so that all departments or branches of similar interest or make-up report to the same administrator and that these heads function as a council whose similar interests and problems could help them develop better, more consistent supervisory policies and stronger leadership skills.

4. That the promised codification of policies and procedures, including those concerned with personnel and supervision be continuously updated and that responsibility for this maintainance be specifically assigned to an appropriate library officer.

New supervisors at the department head level are more likely to be recruited outside the library system than to be promoted from within the ranks. Middle level supervisors are often drawn from present staff. Although interviewees agreed that the candidates chosen were usually quite capable, they generally felt that greater encouragement should be given to present staff to apply for supervisory openings before a recruitment program outside the system was begun. The prospect of eventual promotion would provide greater incentive to present professional staff and, if an appropriate candidate were available from within the system, administration might realize a savings in recruiting funds.

All UTK Library departments have capable leadership, though few are headed by persons with specific training or subject specialization in their departments. New department heads recruited straight from Library School sometimes lack library supervisory and leadership experience and expertise and there is no management training program to develop these skills in them or in long term supervisors.

The task force recommends:

5. That Library Administration encourage present staff to apply for supervisory openings before recruiting outside applicants and, since their background, ability and experience are a matter of record at UTK they should not be asked for five outside references.

6. That Administration and Personnel develop a formalized management training program as soon as possible both for present supervisory staff and new supervisors and, that this program be designed to develop such skills as proper communication, human relations, human resource management and motivation as well as supervisory procedures and proper personnel evaluation.

Responsibility for decision-making rests, to a large extent, on top administration. Department heads solicit their advise on most matters and act as an advisory council in heads meetings. However, information for decision making at this level is not always adequate or accurate. Subordinate staff members are only occasionally involved in decisions relating to their work and feel that those responsible for making decisions are not always aware of problems at the operating level.

Decision making follows a pattern of group participation during heads meetings. However, there appears to be some dissatisfaction with the size and effectiveness of this group.

The task force recommends:

7. That Public Services heads and Technical Services heads meet with their respective administrators on occasion to discuss matters of mutual interest to them which need not be deliberated at a meeting of all heads.

8. That efforts should be made to provide more accurate information to decision-makers. Whenever a new task or a significant change in procedure is being considered, staff who are involved should be consulted.

9. That studies be made to provide more complete data on the procedures and the use of staff time and that these statistics be utilized whenever possible in decision-making.

Working relationships at UTK Libraries are in general, productive. The response on the Likert Profile indicates that the staff feels there is a large measure of mutual confidence and trust between subordinates, administrators and senior professionals. Superiors display supportive behavior quite generally. Even in this conducive atmosphere, however, subordinates do not always feel free to discuss matters related to their work with their supervisors. They can find relief in these situations through the employee grievance committee, but only if it involves a clear infraction of University policy.

The task force recommends:

10. That an effort be made to improve the communicative skills of supervisors. Perhaps this could be emphasized in one session of a larger management training program. This session could also cover the attitudes and supportive behavior which would encourage upward communication from employees.

The most needed and highly developed skills available in the library are not always used effectively. In some departments, library faculty spend a large measure of their time with clerical tasks while, in branch libraries, support staff are often asked to perform high level reference and bibliographic work.

The labor pool that is available around a large university has yielded UTK Libraries a clerical and support staff that is in general, overqualified. Few of the specialized skills available here have been tapped, except, perhaps, in the case of language specialities utilized by Acquisitions and Processing. Those who provide these services are not given corresponding recognition.

The task force recommends:

11. That staffing patterns should be altered so that the ability of those hired more closely matches the requirements of the job.

12. That those providing specialized skills be given appropriate status and compensation.

The focus of supervisory energies at UTK is on completing library activities and achieving library goals. This, of course, cannot be accomplished without motivating and satisfying staff to a certain extent. However, staff growth and development is not considered the responsibility of individual supervisors. Those interviewed and the task force agree that providing opportunities for staff growth should be the responsibility of the organization as a whole with the cooperation of supervisors.

Supervision in UTK Libraries has failed to develop effective motivational forces. Recent Library budgets and federal and state wage guidelines have damaged the effectiveness of real or potential economic rewards. Yet other underlying motives, such as the desire for status, achievement, advancement or new experiences have not been tapped. Consequently, staff response on the Likert indicated that their attitudes are often hostile and counter to the organization's goals, that their motives are often in conflict and that rank and file feel little responsibility for

the organization's goals. Their conflict is evidenced by the fact that the majority of staff members expressed some measure of hostility toward the organization and its goals, yet they were satisfied with being a member of that organization and with their achievement in it. Attitudes toward other members of the organization were generally favorable and cooperative.

The task force recommends:

13. That administration emphasize to staff the Library's purpose as a public service institution and point out the importance of each staff member's role, however small, in fullfilling that purpose.

14. That the Staff Association be encouraged to develop into a stronger body with more diverse interests that could possible serve as a vehicle for staff participation in determining objectives, goals and compensation plans.

15. That a development program be established that will, to some extent, tap motives other than economic rewards by providing avenues for staff growth and by involving staff more deeply in the organization.

STUDY TEAM REACTION TO THE SUPERVISION AND LEADERSHIP TASK FORCE

The study team's overall reaction to the findings of the Task Force for Supervision and Leadership is one of endorsement. Several of the points raised by the task force are focused upon below.

The task force findings indicate that several of the library's departments lack formal organization below the heads level. In most cases this situation reduces the opportunity for interaction between supervisor and supervised. Staff feel they don't have the opportunity to communicate job-related problems to their immediate supervisor as frequently as necessary because that immediate supervisor is a department head with supervisory responsibilities (as opposed to the headship role) for the entire department. Decisions may be delayed (which frustrates employees), employees may lose sight of their role within the organization, and heads find it necessary to wear several supervisory caps. The latter can result in the head no longer performing the overall role of coordinator of the department's activities. All of these potential problems can and do exist to varying extents in the library's departments. The study team strongly recommends that all departmental organizations be reviewed with an eye to formal organization below heads levels.

The task force report indicates that where supervisory levels exist, the supervisor's emphasis is upon the activities and tasks facing that unit. Little consideration appears to be given to positive steps to achieve employee satisfaction while "getting the job done." The results of the Likert survey indicate supervisors do little in the way of attempting to motivate staff by exercising a strong "leadership" role. Because of this, the study team recommends that leadership training courses be made mandatory for all supervisors in the library system. Further, that library heads be asked to attend the same courses in order to assure the same type of orientation to these issues throughout the chain of command.

Another issue to be found in the task force report is the staff concern for the library's apparent emphasis on securing outside candidates for all professional positions, particularly supervisory positions. Many staff are apparently discouraged from making themselves candidates for supervisory positions because the library administration requires five outside references for consideration and seems to announce vacancies to the staff after seeking outside candidates.

The study team reaction is that the library should attempt to secure the best candidates possible by encouraging current staff to apply for vacancies, but should not stop seeking outside candidates. Library administration could reduce staff concern by eliminating or reducing the number of references required from inside candidates and by specifying requirements for the position to the staff. Additionally, library staff should be apprised of vacancies as soon as possible. A formal statement on the library's recruiting policy and procedures would also help clarify the issue.

Decision making is reported by the task force to be a major concern to staff. A prevalent feeling is that decision making is made at inappropriately high levels without the benefit of input from the elements of the staff responsible for implementation of the decision. The reported result is that the decision made frequently is not the most workable solution and those responsible for implementation feel the problem could have been avoided by their consultation. The ill will created by such a situation is easy to imagine and is manifested in the Likert survey.

Increased formal organization below the head's level and supervisory training ought to alleviate the problem to a certain extent. Staff input levels will be increased by this action and consistent with the library administration's consultative management style information ought to be sought from all levels for input to the decision making process in order to assure workability and commitment to the plan of action.

Earlier in this study the study team recommended a process to the library administration for the recognition and establishment of more specific library objectives and performance goals. Generally, it called for greater opportunity for staff input towards the establishment of objectives and goals. The reasons for this recommendation were threefold: (1) to arrive at more meaningful objectives and goals through greater exposure, (2) to obtain greater staff commitment to these organizational endeavors, and (3) to more closely relate organizational objectives and goals to those of individual staff. The task force findings through the Likert survey point out a great need for this process. 65.5% of the staff indicated their attitudes, to some extent, were "hostile and counter to organization's goals. Of these, 26.7% felt that this was usually the case." This finding is a compelling enough reason for more precise definition of the library organization in order to provide staff input for decision making on the organization's purpose, objectives, and goals. The organization's motives must be more closely related to those of individual staff. They must be able to feel they can affect these motivations and relate to them. If this can be accomplished the study team feels the frustrations evidenced can be significantly reduced and a more effective organization will be the end result.

STAFF DEVELOPMENT TASK FORCE REPORT

Present University Staff Development Activities

In various areas of this study investigated earlier, viz., planning, organization, management, etc., the result generally has been to report a lack of formal programs, but evidence of informal organization. So, too, with staff development.

While there is no formal program of staff development for the UTK non-academic staff or the UTK library staff, there are benefits available to the general university staff, of which the library staff is a part and, in addition, benefits made possible by the library to its staff members. At the same time there is a recognition of the need for such a program in the University Personnel Office and the library director's office, each of these directors having voiced his philosophy and plans for implementing a staff development program.

On a university-wide basis the most appealing offering in the form of a fringe benefit is the availability of academic courses with a waiver of fees to all supporting staff and professional staff with the rank of instructor, or its equivalent, who are taking the course for graduate credit or as a prerequisite for graduate credit. Since many library staff members are still working for undergraduate degrees, this waiver of fees does not apply unless the course is related to the work being performed by the staff member and his application for the course has been approved by his supervisor, a library administrative officer and the university personnel officer.

Extension and non-credit courses offered by the Evening School are handled as are regular academic courses and auditing is usually at the discretion of the instructor. Time away from the library in order to take a course for credit or audit must be arranged with the supervisor, as well as with an administrative officer.

Another, and perhaps more recent innovation for the university, is the prevalence of training courses in specialized information and techniques, i.e., computers, which are available without cost to faculty and staff needing expertise in these subject areas. Concurrently, and for a longer period of time, the university has been the initiator of conferences, institutes and short courses which have local, state, regional, national and international implications and attract attendance from these geographic areas.

Enrollment without cost in these events for university personnel may depend on several factors: specialty requirements; sponsoring agent, who may supply necessary funds (federal grants) or require fees (academic department); and nature of conference, such as East Tennessee Education Association which has an open-door policy.

Within the University Personnel Office, which serves as agent for disseminating all policies and procedures concerning university personnel, there exist formal statements under which university offices and personnel operate: (1) recruitment and job placement, (2) an orientation program, (3) affirmative action plan for recruitment and appointment of minority groups, and (4) a grievance procedures program for non-academic staff.

Plans for enlargement of activities in this office include: (1) broadening the scope of recruitment activities, (2) inclusion of follow-up meetings in the orientation program, (3) training programs for underskilled applicants and for supervisors charged with completing personnel evaluation forms, and (4) an employee training and development program. Funds for this program are included in the 1973/74 budget request.

In the absence of a formally planned and fully implemented university-wide staff development program, the task force recommends:

1. That a staff development program be formulated and publicized, the program to reflect the opportunities within the university at all levels of academic and supporting staff.

2. That consideration be given to the equalization of benefits at all levels of staff with particular attention to the waiver of fees for undergraduate courses and requests for leave, these and other benefits to be available to supporting staff employed by the university for more than six months and at the discretion of the supervisory and administrative officers.

Library Staff Development Activities

The library, like the university, is without a formal staff development program, but is aware of components of such a program which exist within these two areas. The benefits within the university which are available to library staff are mentioned above, those within the library which exist for staff at all levels are: (1) an orientation program for beginning staff, (2) the publicizing of position vacancies as they occur, (3) encouragement to staff for enrollment in academic courses, (4) invitations to prominent outside librarians with specialities or particular interests to visit and participate in informal sessions with staff, (5) an annual lecture by an eminent librarian, this lecture publicized through various media and individual invitation to local and national library and academic circles, and (6) use of ad hoc committees for studying problems within the system. This experience serves to acquaint staff with overall library problems and to acquaint administrative officers with special abilities of staff members.

For all staff who do not attend heads' meetings there are weekly small group sessions with the Director. For the academic staff there is opportunity for participation in local, regional and national associations, workshops, seminars, etc., the library paying travel expenses on an allocated basis and giving preference to those who hold office or have committee assignments within the organization.

Several factors of recent occurrence call attention to the importance of and stress the need for a library staff development program: (1) the appointment of a staff member trained in personnel office procedures and (2) the reorganization of the Library Staff Association from a loosely formed group into one made up of various committees with specific purposes and duties.

The library administration, being aware of the expressed desire of staff for a more formalized program, has responded to this need by recognizing several areas of particular importance: (1) an in-service training program for academic, clerical and supporting staff, (2) no-cost university courses for non-degree persons, and (3) an increased travel budget with revised criteria by which it is expended.

In considering the problems which affect all categories of staff, the task force makes the following recommendations:

1. That the library administration consider encouraging staff to present in writing to their supervisors their yearly plans for intellectual and professional development.

2. That the library personnel office prepare a document listing and describing the opportunities for staff development which now exist within the university and the library.

3. That, within the context of overall library plans and in keeping with priorities of all library programs, the library administration give consideration to the design and implementation of a staff development program which will reflect the needs of all staff and will be in accord with university personnel plans and policies.

While the task force is in general agreement with all criteria as set forth in the analytical tables and other suggestions noted in the narrative statement of the chapter on Staff Development, it assumes that these criteria apply to the ideal or the hypothetical library. To state that the UTK Library should accept all criteria literally would be a mistake. Rather, we prefer to test the criteria against the conditions which prevail in the present and unfolding state of the library; to adopt those which we recognize to be of benefit; to adapt others which with slight modification, will enhance our programs; and to discard those which will only be a hindrance to the progress we hope to make in this area.

Specific Recommendations

1. That the University Personnel Office be requested to develop a staff training and staff development program for all levels of University staff that may benefit from such programs.

2. That in the University program, consideration be given to the equalization of benefits for staff employed by the University for more than six months, with particular attention to such items as: (a) waiver of fees for courses taken for undergraduate credit and (b) granting of leave.

3. That manpower plans be a consideration as staff development plans evolve.

4. That all plans, ever though highly specilaized, of individual library staff members be given due consideration and resolved in the best interests of the individual and the library.

5. That the person or office charged with developing a staff development program be aware of: (a) the needs of all categories of entire staff and (b) the needs of all units within the library organization.

6. That this program, reflecting the needs of individuals and units, include plans judged to be most feasible for application within this library.

7. That this program be reviewed and altered as needed.

8. That this program relate to University-wide personnel policies and practices and be altered in keeping with possible suggestions for changes or improvements.

9. That high priority be given by library administration to the design and implementation of a staff development program.

10. That the drawing up of this program be the responsibility of the library personnel officer and that it be subject to review by top library administration and University personnel.

11. That the formal structure of the group working on this program be at the discretion of top library administration.
    a. That the group be representative of staff at all levels.
    b. That all staff members be encouraged to offer suggestions as plans progress.

12. That the University Personnel Office be consulted in an advisory capacity as plans develop.

13. That the library administration encourage staff to prepare, on an annual basis, individual plans for intellectual and professional development.

14. That these plans be presented to and discussed with the supervisor and forwarded to appropriate administrative officers.

15. That staff be made aware of all opportunities and any limitations in this area before preparing individual plans.

16. That any necessary interaction between individual development and departmental objectives be known to all staff members.

17. That existing opportunities, i.e., courses for audit or credit, seminars, specialized training courses, be publicized.

18. That programs within the library systems of interest to academic and non-academic staff be explored and implemented.

19. That various means of recognition be devised for participation in these career opportunities.

20. That the library explore the possibility of salary increases throughout the year to correspond with professional advancement.

21. That provision be made for up-dating individual personnel files as achievements in training, education and recognition are realized.

22. That consideration be given to engaging areas of the library in the training of interested personnel for advancement within the system.
    a. That these opportunities be available to all staff at various levels within the library units.
    b. That these opportunities exist between, as well as within, departments.

23. That the library administration give serious consideration to the expressed needs of staff for such a program and to the necessary facilities of space, time, staff and funds for accomplishing such a program.

STUDY TEAM REACTION TO

THE STAFF DEVELOPMENT TASK FORCE REPORT

Based on documentation from the Likert survey and interviews, the Study Team perceived staff development as an area requiring a high priority. The task force recommendation that the UTK Library pursue staff development within the framework of the UTK Personnel Office (charged with the campus-wide non-academic personnel function, staff development included) is a reasonable posture. The Study Team feels that the Library administration can and should initiate its own staff development program and must not necessarily rely upon the UTK Personnel Office to take the initiative for two basic reasons.

First, the need for staff development programs exists for both the academic and non-academic ranks of the Library. The UTK Personnel Office charge is restricted to the non-academic ranks and does not pertain to staff holding professional rank. No staff development program created by the UTK Personnel Office would hold a direct professional interest for the UTK Library faculty. Because of this, the Study Team strongly recommends that the Library administration assume the responsibility for creating and maintaining an active professional staff development program.*

Second, because the UTK Personnel Office is charged with non-academic personnel responsibilities for the entire campus, it is reasonable to believe that any staff development program it attempts to create and implement will require prolonged efforts because it must meet the general and diverse needs of the campus. To say that it must meet the general needs of the entire campus does not mean to imply that the Study Team feels specific needs of organizations will be overlooked. It does imply, however, that it may take an inordinate amount of time to coordinate efforts to accommodate the unique requirements of the UTK Library and non-academic staff.

In light of the urgent need of the UTK Library academic staff and the apparent delay in the Personnel Office providing the specific types of program required by the Library system, the Study Team suggests an alternative. It does not appear inconsistent for the Library administration to pursue the creation of a staff development program that would benefit the non-academic

---

*As of this writing, a library staff committee is investigating the need for inservice seminars for all elements of the library staff. This is a laudatory step in the right direction.

library staff as well as the academic staff. As long as the library staff development program does not run counter to the parameters established for the UTK Personnel Office, the Study Team feels the Library administration would retain its prerogatives.

Specifically, the Study Team recommends that the function of staff development be assigned to the office of the Library Administrative Assistant for Personnel. The first charge to the Administrative Assistant should be to identify all existing vehicles for staff development (as recommended by the task force) and publicize these opportunities regularly. The next step recommended is that the Administrative Assistant chair two committees whose charge should be to investigate academic and non-academic (respectively and separately) aspirations for staff development. Their basic purpose should be to discuss, decide upon and recommend to the UTK Library administration specific programs for staff development. They should be advisory bodies and provide for a means of staff input.

The Administrative Assistant's position should be one of coordination of staff and library requirements within the framework of the UTK Personnel Policies and Procedures Statements. Beyond this, this officer should be responsible for the implementation and monitoring of staff development programs through the advice of the two committees recommended above.

Throughout the task force and Study Team efforts, specific programs were discussed and merit mention. Among them, the task force specifically endorsed individual programs for personal development as developed by individual staff members. The Study Team feels that this program has merit, but should not be the sole vehicle for staff development. It should occur simultaneously with library-implemented programs.

The Study Team felt that this concept could be carried a step further by recommending that the Library administration be prepared to meet an individual's commitment to research and development by providing released time for an element of the person's research effort where deemed necessary and appropriate. The Study Team recognizes that there may be a UTK regulation disallowing released time with pay for these purposes, but points out that a twelve-month faculty appointment does not provide the opportunity for research and professional development that is inherent in a nine-month faculty teaching appointment. Library faculty face much the same criteria for peer and administrative review in their professional endeavors, but are severely handicapped in the amount of time available for professional expression and development. These arguments should be formally conveyed, if necessary, to The University of Tennessee administration.

CHAPTER VI

PERSONNEL TASK FORCE REPORT

Description of Present Situation

The Task Force on Personnel began its review by looking first at the UTK Personnel Office, which is responsible for filling all non-academic positions for the university and for formulating and administering policy relating to non-academic personnel. This office issues the UTK Personnel Policies and Procedures Statements. During the course of the investigation the office distributed the Personnel Policy Manual, containing all current personnel policies in a loose-leaf form which can be easily revised. This office is presently engaged in several programs designed to give the employees a more equitable wage, insure proper use of their skills and improve employee morale.

The UTK Library has an Administrative Assistant in Charge of Personnel who as one of his responsibilities, coordinates applicants with clerical and supporting position openings within the library. He reports to the Associate Director of Libraries for Administrative Services. The Director of Libraries is responsible for recruiting, interviewing and hiring for professional positions.

As a means of gathering information the task force conducted interviews with Edward K. Bennett, Director of UTK Personnel, and Richard W. Boss, Director of Libraries. Barry R. Bartlett, Administrative Assistant in Charge of Personnel, was a member of the task force and was not interviewed. Mr. Bennett and three members of his staff Herbert C. Bradshaw, Joseph A. Robustelli, and Jesse U. Overall met with the entire task force to describe the present UTK personnel situation and explain programs the Personnel Office is currently engaged in or planning. In a similar interview with Mr. Boss, he discussed recruiting trips, profile of applicants he is seeking, salary determination, hiring and long-range manpower planning.

To gather personnel information concerning the UTK Library staff situation, the task force used the Columbia Study questionnaire modified so as to be applicable to both academic and non-academic staff. Response to the questionnaire was very good. (Above 90%). Results of the questionnaire reflect staff activities, training, satisfaction in present job, tasks performed and future job preferences. Completed questionnaires have been placed in each staff member's personnel folder and could be very helpful in planning for staff development and in considering transfers and/or promotions.

Analysis and Evaluation of Present Personnel Situation

Principles and criteria in the analytical tables in the ARL manual were applied to the UTK Library personnel situation. The task force used information from the UTK Personnel Policies & Procedures Statements, the two interviews, the staff questionnaires, readings and personal experiences to help analyze and evaluate the present UTK personnel situation.

The UTK Library personnel program has been based on a statement of objectives that reflects the overall library program. The personnel program has been reflected in the UTK Library statement of ongoing program objectives, annual library budget requests, library position descriptions and library organization chart.

The UTK Library personnel program is administered in accordance with the policies and procedures in the Personnel Policy Manual. This has just recently been printed and made available to each department. Previously most departments did not have these policies in a form easily available to the staff.

Presently the library staffing plan is based on present positions and projections are in the form of requests in the annual library budget for additional positions or changes in positions. The library does not have a five-year staffing plan. Some staffing problems have been anticipated but there is no formalized long-range staffing plan.

Recruiting is conducted separately for academic and non-academic (or clerical and supportive) personnel. The Director of Libraries recruits for academic personnel. This recruiting includes systematic visits to library schools, establishment of a pool of qualified candidates and scheduling applicant visits to the library.

UTK Personnel Office is in charge of recruiting for non-academic positions. The Administrative Assistant for Personnel in the library relays to that office information concerning vacancies and specifications of qualifications needed to fill openings. Each applicant should go to UTK Personnel Office for an application, screening and scheduling for interviews for position openings.

Position descriptions have been written for the library administration, department heads, and specialist and support staff categories. They have not been written for the academic staff in non-supervisory positions. These job descriptions describe and classify positions according to job content, required qualifications and level of responsibility.

Compensation levels for faculty and staff were not made available to the task force. There is an annual salary schedule for clerical and supporting staff, but steps in the schedule are not necessarily tied to a time frame and do not reflect merit increases Salary range for academic staff is not related to academic rank.

Positions should be designed to capitalize on the available skills and capabilities. As the task force could best determine this is often the case but feeling was that special qualifications of staff members were not being utilized fully because of difficulty of crossing departmental lines.

Staff relations is an integral part of the library's personnel program as witnessed by development of a formal UTK grievance procedure. Department heads are required to hold regular meetings with their staff to inform them of any policy changes and to receive suggestions and complaints from the staff. Library News Notes is designed to keep the employee informed and to improve staff relations.

Each staff member is given an annual review and evaluation of his on-the-job performance. New employees are given an evaluation at the end of a three-month probationary period. An evaluation form is used and the supervisor conducts a private interview and discusses each point on the form. Both deficiencies and outstanding performances are stressed.

Specific Recommendations

1. That the library administration develop written statements of objectives covering recruitment, placement, employment, compensation and development programs, especially for the academic personnel.

2. That the library develop and maintain a staffing forcast other than that provided in the annual library budget request.

3. That the Associate Director of Libraries for Administrative Services be given full responsibility for the personnel function rather than it being divided between the Director and the Associate Director. NOTE: A minority opinion was stated by a task force member in favor of maintaining the status quo.

4. That a written plan be developed for the personnel office which relates objectives to programs.

5. That previous recommendation of Task Force on Policies that policy manual be developed be reinforced.

6. That the library personnel office issue supplements as needed to the UTK Staff Handbook when it is published and made available.

7. That personnel policies be more easily available to staff members. Availability should be improved by the recent issue of the Personnel Policy Manual.

8. That if annual departmental budget requests are to be the staffing plan that all items in this criteria (Principle 3, Criteria 2) be incorporated when applicable.

9. That the academic staff be involved in visiting with prospective academic staff members and in the evaluation of these candidates.

10. That the library continue its affirmative action toward employment of members of minority groups in all position levels.

11. That specific position requirements be given when the library actually has a position open.

12. That the library's recruiting pattern be analyzed to determine the degree of success in recruiting and retaining outstanding staff members.

13. That position descriptions be developed immediately for those academic positions not having descriptions; that all position descriptions be reviewed to insure that they accurately reflect the library jobs.

14. That feasibility of a classification plan which clearly identifies avenues of career advancement for the UTK Library be investigated. There is some doubt that library staff is large enough to warrant formalized plan at this time.

15. That position titles be reviewed and redesignated as necessary to reflect accurately the level of responsibility and the status of the position.

16. That better use of specialized skills on staff be made; that extra renumeration be given for special skill assignments where the task involved is beyond the level of the staff members regular position; that the library personnel office should maintain a skill inventory to better alert department heads of special skills available.

STUDY TEAM REACTION TO THE PERSONNEL TASK FORCE REPORT

The Study Team reviewed the work of the Personnel Task Force and felt that a greater detailed effort on the part of the Study Team was necessary in order to augment the task force findings. In order to get a basic feel for the issues covered in the personnel chapter, the Study Team reviewed the task force documentation and the task force reports. The Study Team then applied the analytical tables to the data gathered. The following, then, represents the Study Team and task force efforts on the personnel chapter.

The chapter on personnel appears to represent a summarization of the several specific personnel areas affecting an organization covered by earlier chapters. The Study Team assumes the MRAP manual has simply called for re-emphasis on personnel issues. The Study Team is able to identify several areas from the task force report for discussion.

The efforts of the Personnel Task Force seem to point up to the Study Team the need for a library personnel office re-definition. The office of the Administrative Assistant for Personnel was created by UTK Libraries in December, 1971. Since that time, a variety of staff perceptions of the office have developed. It appears to the Study Team that the Administrative Assistant's office was charged with the total personnel and payroll activities of the library staff with the exception of recruitment of professional personnel. The Study Team recommendation is that the responsibilities of the Administrative Assistant's office be explained in detail to all staff so that the many and varied perceptions of this office are clarified. The recommendation does not mean to imply that all final personnel decisions are to be made in this office. It recommends that the office serve to provide management information to the library administration; to perform a records maintenance function; to develop, co-ordinate and maintain a staff development program; to advise the library administration on personnel issues; and that it serve as a source of personnel information for library staff.

One of its responsibilities ought to be the creation of a staff handbook that would serve as a source of information regarding policy, benefits, and library programs for clerical and supporting staff as well as professional staff. This handbook would be very beneficial in the employee's initial orientation as well as provide a form of ongoing orientation. The handbook should be updated on a regular basis.

It was pointed out in the analytical tables and task force report that a grievance procedure for non-academic staff currently exists at UTK, but that there is some confusion among the staff as to how this system operates and what it can do for employees. The Study Team recommends that the Administrative Assistant for Personnel work closely with the two library grievance

chairpersons and the UTK Personnel Office in an ongoing attempt to maintain clarity on this program and to provide coordination within the library system for the efficient operation of the grievance procedure.

The above mentioned grievance procedure is applicable only to clerical and supporting staff. The efforts of the task force indicate that there is a lack of understanding within the UTK Library Faculty as to clear-cut grievance procedures for the professional personnel of the library and the university. A traditional set of grievance procedures is available to the faculty, but is not codified in the current Faculty Handbook and will apparently not be codified to any great extent in the new handbook. The Study Team recommends that they be compiled and codified by the Library Administrative Assistant for Personnel. This codification could logically occur in the staff handbook called for above.

Earlier, while discussing staff development, the Study Team called for the creation of individual development plans for staff members. These plans should be developed by and for the individual and should be reviewed with that person's immediate supervisor, with an eye to individual staff development.

The Study Team recommends that the Administrative Assistant for Personnel further refine the current performance rating process within the UTK Library. (The work of the Administrative Assistant's office ought to reflect the recommendations emanating from the ad hoc UTK Library committee currently investigating this topic.) The basic issue to be faced appears to be a clear definition of the evaluative criteria for the benefit of the staff as well as the raters. The format and procedure for conducting a performance interview ought to be developed for the benefit of supervisors and heads. The Study Team hastens to add that the library's performance rating process has evolved in the absence of a refined UTK process. The library administration is asked to press for a campus-wide policy and procedure that is consistently adhered to throughout UTK. The refinement of the performance rating process ought to also include a thoroughgoing explanation of the dual purpose of the process: (1) to guide individual employees in their development as staff members and (2) to provide an overall basis to be used as a guide in determining annual merit increases.

The MRAP manual touched on the issue of projecting manpower requirements in the library. The Study Team defined "projecting" as the process of determining one-year needs for the library system and added the further definition of "forecasting" as the process of determining the mid- to long-range manpower requirements. The Study Team has no quarrel with the current process for manpower projections but hastens to point out that the earlier recommendation that the library administration conduct mid-range formal planning ought to simultaneously result in mid-range forecasting of manpower requirements. Any attempt to forecast the UTK Library requirements ought to be based at least upon: (1) the impact of full-formula funding over the next five years, (2) departmental

and library objectives and goals, and (3) the basic criteria (page VI-16, criterion 2 of the Analytical Tables) offered in the Personnel Chapter of Phase VI of the MRAP manual.

The findings of the task force indicate that the library has position descriptions for clerical and supporting staff, for library administration, and for all supervisory professional positions. There are, however, few, if any, position descriptions for professional, non-supervisory librarians. The Study Team recommends that position descriptions be developed for all positions in the library system and be regularly reviewed. The position descriptions should reflect the organizational requirements in order to achieve the library's objectives and goals, rather than being based on existing individual skills. These descriptions ought to relate to any reorganization and to the library's overall service projections. The Study Team's call for reorganization along activities guidelines presents an excellent opportunity for the library administration to structure its professional and non-professional positions flexibly with an eye to growth of service and growth of individual within the structure. This should allow for an identification of organizational motivations and the type of staff to be hired by the library administration. Hopefully, a reorganization would provide for an identification of professional and vocational avenues of advancement within individual positions as related to organization. The reorganization and classification could also more directly identify adequate compensation ranges for individual positions throughout the library system.

The Personnel Task Force with one dissenting vote* called for the reassignment of the professional recruitment responsibilities to the office of the Associate Director for Administrative Services. The Study Team, however, differs from the task force point of view. It feels very strongly that the Director's office must be intimately involved in the recruitment of professional personnel so that the Director might be responsible for shaping the complexion of the professional library staff. The Study Team feels that it is important for the Director to be in close contact with library schools which might be providing candidates for positions within the UTK Library System. The Director's ability to influence the deans and faculty of these schools will be directly reflected in the caliber of library candidates recommended to the UTK Library.

The Study Team does not wish to diminish the amount of contact the Director currently has with professional candidates for UTK Library positions but does seek to extend the role played by the Associate Directors and department heads. It is recommended that the Director maintain his current role in the recruiting process. Further, once a candidate arrives at the UTK campus, the appropriate Associate Director and the head (if the position is non-supervisory) of the department for which the candidate is being recruited become the "host team" in order

---

* The dissenting vote preferred a maintenance of the status quo.

to make certain that the candidate gets adequate exposure to those people with whom he may be directly working. One of the problems encountered by the Study Team was that candidates in the past have felt that they had greater exposure to the Director of Libraries than to the individuals with whom they will be directly working and felt that there was something of a let down upon assuming their work assignment in the UTK Library. Hopefully, the expansion of the roles of the Associate Directors and the appropriate heads would minimize the possibility of this problem occurring.

The Study Team felt that during the recruitment process professional librarians were attracted to the UTK Library System for a number of reasons and felt that the library system is competitive with other regional research libraries. In regard to clerical and supporting staff, however, the opposite appears to be true. There appear to be two major reasons. The first is that the UTK pay scale (from which the Library may not deviate) does not appear to be competitive with local industry. Those outstanding non-academic employees attracted to the library system are frequently lured away by better paying jobs in local industry. The Study Team recommends that the Library administration prevail upon the UTK administration to conduct a comprehensive survey in order to ascertain the validity (if any) of the perceived difference.

The Study Team also feels that reorganization along activities guidelines should result in clearer definition of vocational career advancement for clerical and supporting staff. It is felt that the library offers several opportunities in the clerical and supporting area which could be made more attractive to potential employees. Unfortunately, not enough advantage is taken by the library of the wide range of educational and occupational requirements and opportunities which exist within the UTK Library System in order to accomplish this end.

MANAGEMENT GENERALLY TASK FORCE REPORT

The task force experienced some difficulties in determining the scope and purpose of the management generally segment of the study. The identification of relevant information was a major problem. The basic source used was the Likert Profile. The possible deficiences in this survey were recognized but an adequate substitute was not found. Some information was gleaned from the output of prior task forces in the study.

The basic area under study, as indicated by the analytical tables, is the quantity and quality of staff interaction. The analysis is approached from several viewpoints. The types and effectiveness of formal and informal communication systems is of central importance. The effectiveness of the upward, downward, and lateral flow of information is emphasized. Any general evaluation of communication effectiveness must be based on very subjective measurements. The measure of effectiveness is the way the people involved perceive the usefulness, completeness, and accuracy of the information they receive. Some portions of the Likert Profile attempt to measure these staff perceptions and these provided the major source of the information used.

The extent to which the staff is involved in and understands the development of the current management approach is not great. The evidence in this area is not extensive; however, the task force concluded that the staff does not have a clear understanding of the overall management approach. The lack of a definitive statement by the library administration is an indication that the level of staff understanding is not great.

The Likert Profile responses indicate that there is not extensive friendly interaction between individuals within the library. The degree of cooperative teamwork within the library appears to be at least moderate. These two factors considered together would indicate that the apparent lack of friendly interaction does not significantly limit the teamwork necessary for efficient library operation. There is no direct method of raising the level of friendly interaction, however, an environment that is conducive to friendly interaction may be developed.

The amount of influence which subordinates have over the objectives, goals, and activities of their units appears to be moderate. This moderate level of influence could be caused by several factors: the lack of an opportunity, the lack of encouragement, or the lack of initiative from the junior staff members. Since the department heads are presently encouraged to gather input in these areas from their staff, the task force recommendation is only to reinforce present policy.

The Likert Profile responses in the area of communications indicate several characteristics. The staff does not feel that a supplemental communication system is necessary so it may be assumed that the existing structures are adequate but not utilized. There seems to be a large portion of the staff that feels that communications of all types are somewhat restricted. The distrust of the information received may be an indication that a significant portion of the staff may feel that they do not receive valid information. This would indicate a problem not with simply the methods of communication used but with the perceived intent of the downward information flow.

Since any communication problems which are present tend to be in the utilization and acceptance of the present structure, recommendations are difficult. The major things that need to be accomplished are to improve the use of the current lines of communications and develop an acceptance of the information that is provided. Both of these tend to medium range projects that should receive top management attention. There is no quick or easy solution to the problem of developing successful communication.

The effectiveness of oral and written communication, both formal and informal, varies considerably. The major area that needs improvement in this area is the communications connected with committee activities. The task force recommended that committee procedures in the area of agenda preparation and the preparation of documentation needs improvement.

The library administration stresses the use of departmental staff meetings on a monthly basis. These are to be held within three days after the department heads' meeting. The Director has also held general staff meetings on several occasions. Ad hoc committees are frequently formed to study specific issues. These committee members are chosen from various levels of staff and functional areas dependent on the question under study. The Director encourages heads or staff members to submit memoranda on issues under discussion. As mentioned by the Management Information Task Force, the Director is accessible to all staff members. The structure for staff communication seems to be present and its use encouraged.

The library does not have a program of staff training and development. Training in oral communications, committee operations, and committee documentation should be a consideration in any staff training programs. The possible benefits and costs of providing instruction in these areas could be in an area for study. Counseling of communication problems is a general responsibility of the library's supervisors. Any problems in this area should also be discussed in connection with performance evaluation programs.

Specific Recommendations

1. That the top library administration should define their current approach to management. This definition of the management approach should allow an understanding by the staff of the basic management approach and of the organizational relationships as perceived by the library administration.

2. That constructive working relationships between individuals in different units be encouraged.

3. That junior staff members be provided the opportunity to provide input in the development of their unit's goals, methods, and activities.

4. That decisions which have implications for several units should be coordinated among the units involved.

5. That effective downward communication be developed at all appropriate levels. The use of present lines of communication is recommended with continued emphasis on establishing meaningful communication.

6. That upward communication be generally encouraged and formal documented upward communication be utilized to improve the quality of the upward information flow.

7. That the use of agenda and other means of effectively planning and organizing unit meetings be encouraged.

8. That an agenda be prepared for committee meetings.

9. That staff members, who will be affected by an item, be sent copies of memoranda on the subject.

10. That adequate documentation be prepared by committees to reflect the work done. This may be in the form of formal minutes.

11. That committee documentation be summarized and organized in a manner that will make it useful for later review.

12. That training in oral communication, agenda preparation, chairmanship, and report and memoranda writing be factors in any staff training programs that may be studied.

STUDY TEAM REACTION TO

THE MANAGEMENT GENERALLY TASK FORCE REPORT

The Study Team review of the Management Generally Task Force resulted in unanimous Study Team agreement that the chapter deals specifically with communications rather than management and ought to be so entitled. The bases of the study are to be found not only in the Management Generally Task Force Report, but also from gleanings of the other personnel-related task force reports. Based on task force findings, the reaction of the Study Team, then, seeks to expand on the overall issues of communication in the library system.

The Study Team feeling is that a large portion of staff below the department head level fail to take downward or upward communication seriously because they do not fully understand the reasons for these lines of communication. (See VI 49, Analytical Tables for Management Generally). In some cases, staff distrust the information provided (e.g., they sometimes feel information conveyed to them is palliative to staff feelings and that the library administration has already privately decided an ultimate position) and don't bother to respond to administrative requests for input.

The library administration contends that its administrative posture or style is one of consultative management based on full disclosure of information to staff. The Study Team points out that this posture and style are not understood by many below the department head level and are ineffective with present levels of understanding and communications flow. Because of this lack of awareness at all levels, the reason for information flow is misunderstood and is frequently distrusted. Staff in many cases are unaware that their input into problem identification and solution is sought.

The Study Team recommends that the Library administration clearly and definitively state its administrative style and posture to all staff. The ability of the Director to persuade heads and staff on the acceptability of consultative management would represent another step forward in the implementation of a communications system that has strong implications for the success of a management style.

The earlier recommendation calling for a clarification of management style to all staff has pointed out the need for upward and downward communications. Another factor affecting communications has become clear to the Study Team: the UTK Library Staff does not possess a great deal of interactive experience. The Study Team recommends that the staff development program address itself to developing higher levels of interactive skills throughout the staff.

Further, the Study Team points out that communication is a "two-way street" and that the staff has the responsibility to interact within the library communications system. The library administration should strengthen its efforts to encourage staff input and communications in order to insure the success of the consultative management approach.

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

MRAP HEADS' MEETING, 7/25/73, Room 202, University Center

MINUTES

Status of the Director Including Graduate Council Representation

The meeting was called to order at 8:00 a.m. with Richard W. Boss presiding. A brief announcement was made pertaining to the film evaluation workshop co-sponsored by the Graduate School of Library and Information Science and UTK Library on July 30 and 31, 1973. Library faculty interested in learning how to evaluate 16mm films for adult audiences were invited to attend.

The status of the Director of Libraries was opened for discussion by RWB. Aubrey Mitchell began by questioning the responsibility and authority of the existing vice chancellors and the possible advantages and disadvantages for the elevation of the Library Director to this level. RWB questioned the effectiveness of a change in the title of Director of Libraries to a vice chancellorship rather than more directly and formally involving the Libraries in campus planning, curriculum development, programs, and building projects which involve library space etc. George Shipman pointed out the fact that much of the committee assignments with which RWB is involved are due to the fact that he is a faculty member not because there is any direct relationship to the Director of Libraries position on these committees. Because of this fact, GWS felt that a more formal position should be taken so that the Library will be represented on these several Councils in an ex officio capacity. He made note of the fact that RWB has membership on only two, the Board of Deans and the newly created Research Council, because of the directorship and membership on four, Faculty Senate, Executive Committee of the Faculty Senate, Chancellor's Role Committee, and the Transition and By-Laws Committee, because of his faculty status. RWB stated that there are two crucial groups which meet regularly -- the Chancellor-Staff Meeting and the Graduate Council -- in which he is not included and which he cannot attend. The Undergraduate Council Meetings are open to visitors and he often attends, although membership would be highly desirable.

Discussion ensued relating to the apparent need for more extensive formal administrative relationships between library administration and the UTK Administration to replace the informal relationships which exist. The selection process for a new chancellor could be very significant. The position the new chancellor takes in relation to the status of the library on the UTK campus and the importance of its overall effect on the programs involved is of vital significance to the Library System and its hope for more involvement in long-range planning.

Bob Koester stated that since some directorship input is formal perhaps other librarians should become formally involved. RWB responded by saying that GWS was doing just that by being a member of the Educational Facilities Committee and other librarians were involved, particularly on college-level curriculum committees. There are six librarians now serving on such committees in the Colleges of Home Economics, Law, and Liberal Arts. A greater formal impact will be made by utilizing the T.H.E.C. form in regard to the review of undergraduate curriculum changes in the future. Mary Jane Sharp stated that the Task Force agrees that more formalization is needed. She felt that the ARL Manual called for an elevation of the director, but the Task Force rejected this posture. GWS stated that the ARL Manual states that the change in the title brought out the recognition of the wide range of the Director's role on campus. He feels a review of the director's role in campus decision making is called for. GWS also stated that no one in the UT Administration has received a copy of the Management Study and will not until all staff and heads' meetings are held and any revisions made. He feels perhaps the Management Study may have a significant effect on the new chancellor.

The directions the library can take in trying to get the involvement it needs in order to allocate its resources for the Campus are varied. However this is a very delicate situation in which many points of view must be taken into consideration. The library faculty does not want to be considered greedy or selfish in its quest for greater involvement in development planning. Here again formality vs. informality in the procedure that can be followed. Bob Koester suggested a formalized "informal" plan in which librarians could informally take advantage of occasions to promote the library's position in the UTK community. This procedure was received with mixed feelings. Olive Branch felt that the MRAP was such a formalized "informal" process of relaying library faculty/staff opinions to UT Administration. LaNelle Vandiver voiced the opinion that she liked the informal approach but found the idea of being "pushy" distasteful. Danuta Nitecki asked how many would feel comfortable doing this and stated that she would feel very uncomfortable in this sort of situation. Rick Surles suggested that the Library go about this both formally and informally. Don Jett stated that he has many opportunities in which he might let the dean know his feelings about the library involvement in development planning as the Dean already knows the official stand of the Director of Libraries. Sugg Carter stressed the fact that long-range planning is the most important issued involved here.

RWB observed that the discussion seemed to have moved to a position that the key is not the status of the Director but the role of the Library in University decision making. He stated two goals: (1) there ought to be a librarian on every curriculum committee on the campus, and (2) that there be a formal input by the library on the Graduate Council and Undergraduate Council. There appeared to be consensus on these objectives.

Final decisions on the steps that the Library Administration will take were to be decided at the Administrative Meeting later that morning.

The meeting was adjourned at 10:00 a.m.

Eileen M. Thornburg
Recording Secretary

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

OFFICE OF THE DIRECTOR

ARL/MRAP staff discussion ....Communication, including policy manual
3:30 p.m., Wednesday, July 25, 1973, UT Center 226/227

This meeting, the first staff reaction session in the review of the ARL/MRAP report, was chaired by Dick Boss. Perhaps 80 people were present, including administrative officers, members of the Study Team, department heads, library faculty, and supporting staff.

The phrase "extensive friendly interaction" in the Management Generally Task Force report (page 94) was introduced for elaboration by Carol Jones, Main Reference. The implied meaning was conceded to be in terms of the job assignment, not in a social sense. Bob Scandlyn, Management Generally Task Force chairman, said the word, a value-loaded one, came directly from the Likert Profile, inadequate in some respects. Discussion revealed a widely held opinion that greater familiarity with the various departments of the library would improve interaction. Dick Boss announced the recent appointment of a committee (Dana Nitecki, Interlibrary Loans; Carolyn Hamlet, Main Circulation; Martha Rudolph, UGL Circulation) to develop a prototype program to become the basis for a permanent program of visits for all staff.

Dave Startzell, UGL Circulation, advocated "a full-blown training program in which we are introduced to policies and objectives" rather than the orientation now practiced, feeling it could resolve the lack of expertise and improve communication and motivation. Carol Jones suggested a series of communications workshops available to all staff. Rebecca Smith, Processing, felt name tags with departmental affiliation, for instant identification of co-workers, could increase communication and speed the process of initiation. Dick Boss asked for a show of hands on this; the response was decidedly in favor of tags.

Malcolm Blowers, Main Reference, recommended departmental procedure manuals as both training devices and communication methods.

Bob Koester, UGL Reference, felt orientation should be continuing, not a one-time thing.

Dick Boss stressed his wish that everything which occurs at heads meetings (outside of confidentialities, which have come up perhaps twice this year) be reported fully to the staff by the heads, with staff reactions sought and brought back to the administration. Individual staff with input concerning a university-wide problem may, if he feels more comfortable doing so, deal with the director. Some staff prefer "objective reports" from their heads. Others want "an exchange of opinion" between themselves and the head of their department; none want

any attempt to sway. Not all staff were aware that feed-back is expected or wanted. Asked whether inclusion of staff reactions on the long agendas of the heads meetings were feasible, RWB said more items would increase discussion, but the information must be reported to the staff. Options might be two meetings a month or time limits for discussion.

Availability of the minutes prior to the report of the head would be helpful, Sarah Holland said. Gary Scales, Serials, would like to hear the differing opinions that came before the final action.

Staff favor seeing the agenda before the meetings, but felt the items should be annotated.

Martha Rudolph, UGL Circulation, said staff committees often do not react to staff input.

Mary Frances Crawford, UGL Reference, called "the mail situation" a factor in the communications lag.

Asked his reaction to the recommendation that minutes of administrative sessions be distributed to all staff, RWB said that virtually everything in those meetings has an output in the form of agenda items, responses to suggestions, memos to staff, library faculty, heads, individuals, that each action becomes visible in the appropriate form. Minutes would be redundant. The exchange between the three administrators is uninhibited at the present time; minutes would have to address themselves to the nature of any disagreement prior to decisions and how the individuals reacted.

Agreement with RWB's stand was volunteered by several staff members. He asked for conflicting opinion. Bob Koester, as chairman of the task force which made the recommendation, explained that minutes could be a management information tool, not so much a communications tool.

To the opinion that there are too many memos being distributed, several staff members disagreed; they would rather be able to choose items of significance to them from numerous memos, rather than having decisions made for them. M. Rudolph added that policy information should be available faster.

Referral to a management training program and departmental manuals as communication aids was repeated. George Shipman felt the identification of departmental goals and objectives, which is now being pursued in the heads meetings, is a logical beginning to the development of departmental manuals.

Dick Boss summarized: extensive friendly interaction does not imply social mingling, but effectiveness in working together, and could be improved by departmental visits; communication can be improved through leadership training and orientation; communications workshops should be available to all staff; departmental procedure manuals are needed; feed-back to heads meetings is not clearly solicited; differing opinions of heads might be reported; minutes should be available earlier; agenda needs to be explained; committees do not always respond; policy information should arrive faster; name tags are wanted, with departmental affiliation.

dht
7/27/73

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

OFFICE OF THE DIRECTOR

August 3, 1973

ARL/MRAP heads' discussion. . . Definition of management styles & communication
3:30 p.m., Tuesday, July 31, 1973, UT Center 226/227

RWB announced progress in up-dating of leave records in the personnel office and asked that calls from staff concerning amount of leave be limited to emergencies only, until the project is completed. By use of overtime, the personnel officer hopes to have leave records as of the end of July ready for distribution by August 10.

He reported that staff, according to the MRAP meeting of July 25, (1) did not know that feedback from reports by heads was acceptable or encouraged; (2) think the agenda items need to be described briefly; (3) would appreciate more candid reports of what goes on in the heads meetings [i.e., differing opinions expressed before final decision]. He stressed that no decision is irrevocably final: policies can be changed; and that posting agendae was done to increase input before the meetings.

Discussion of the style of management began with an attempt to clarify the meaning of "consultative style. . . ." Bob Scandlyn, task force leader, defined it as management interested in gathering input from groups and individuals in the library, or from any who may volunteer information. However, there is no compulsion to follow it. RWB expanded the description to note that the decision-making responsibility continues to rest with the director. "Participative management" suggests, he said, the formulation of policies by employees. "The kind of participation we are trying to develop would not involve abdication for responsibility by the library administration." Three elements in consultative management are (1) full disclosure of information; (2) opportunity for input from staff, faculty, students, legislators, community, etc.; (3) the responsibility of the library administration for making determinations. Concerning one style of management, he said no one style is suitable for all occasions; the style has to be a compromise between individual, situation, and institution.

To Rick Surles' concern that "full disclosure" might have a mandatory element, RWB defined it as a climate of being willing to provide information without worrying about the consequences of doing so. Various factors need to be considered; there must always be discretion; timing may be a crucial element; there may be restrictions from above. Questions of full disclosure "to whom" and "of what" projected possible misunderstanding by the staff and the consequent belief that the policy is illusionary. The impossibility of full disclosure on every matter to two hundred people, with reaction invited, indicated the advisability of changing the statement to "substantial" disclosure (particularly when a statement on page 50 says the staff feels it is often asked for input or planning when the decision has already been made. The statement has not been documented.)

The group voted, after further comments and discussion, for the development of a new objective for the library specifying a climate of "substantial disclosure and a general pattern of consultation" in decision-making at all levels.

To summarize, feedback from staff is to be sought; agenda items will be briefly explained, and the deadline for adding agenda will be set forward so that the other heads may be informed; headings on memos indicate which people have received them, i.e., ". . . to the library faculty, " "all heads," "all staff" and all are to be passed along to staff unless the heading says "Memo to heads only"; the administration will try to keep the heads informed if a memo sent to them is going to go out later to the entire staff; policy memos are to be kept, but retention of other memos is the head's decision; two recommendations from the July 25 MRAP session will be put before the deans retreat and to the vice chancellor for graduate studies and research, namely (1) a librarian on every curriculum committee and (2) library input on Graduate Council and Undergraduate Council.

dht
8/1/73

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

OFFICE OF THE DIRECTOR

August 6, 1973

ARL/MRAP heads discussion. . . Organization. . . . 3:00 p.m. 8/2/73, UT Center 202

RWB announced a commitment from the UTK administration made to him today that funds for a new library building will be requested in 1976/77, even though buildings requested before that time are disallowed. The state legislature may not approve the request, but the UTK administration will no longer readjust the priority for a new library each year.

In a renewal of planning toward the Multi-disciplinary Building, the library was asked to include the G&G map collection in the Science/Technology Library. RWB indicated the library would be interested in proceeding with plans for the Multi-disciplinary Building to include the present biology, science and engineering libraries and a map collection. He will meet with the heads who would be affected in the very near future.

TASK FORCE REPORT ON ORGANIZATION:--Mary Jane Sharp introduced Jan Keck, Acquisition Department, who was asked by MJ to attend in her capacity as a member of the task force. Olive Branch opened the deliberations by asking for a clarification of "duplication and overlapping of work responsibilities. . ." (p. 52) and the description "excessive duplication . . ." by the Study Team (p. 61). No examples have been cited in the report. Mary Jane Sharp said the areas were bibliographical searching and verification. GWS said the duplication of effort was not discussed because of time restraints and it would be better to say "perceived excessive duplication," and that the study team's attitude is reflected in the first sentence of its reaction (p. 61) to the task force's report. MJS said verification and searching is duplicated in Acquisition, Processing and Binding. RWB asked that the other areas be identified if possible.

Olive asked what is meant by "uncoordinated part-time efforts" in collection building (p. 55). GWS said it may be a reaction to the purpose and objectives stated by Acquisition for "mid- to long-range planning." Keith Cottam said it was more a reference to the fact that we have not been occupied with collection development as much as with the collection of collections.

LaNelle Vandiver objected, saying that since before 1958 the library was engaged in collection development, not with count, and that part of his statement could not be justified. "There has very definitely been a concerted effort to make a collection here, not just of titles and volumes, but of those things necessary for a research library." Cottam said he was concerned with "current perspective rather than what was done 15 or 20 years ago." After much exchange, RWB identified two possible ways to go: (1) development of a staff of bibliographers that would work somewhat apart from Acquisition; and (2) establishment of an office of collection development to try to find and stimulate those people most expert, to aid in book selection, whether faculty or staff.

Bob Koester mentioned a coordinator of collection development who works closely with the faculty. His staff could be a staff of selectors while working at public service posts, etc.

The ensuing discussion of subject specialists concluded that selection should be a shared role between faculty and librarians. New teachers should be told they are to participate in selection. It was decided that UTK cannot afford a separate staff of bibliographers.

Rick Surles pointed out that anybody with any expertise at all can go out and select materials. The question is not whether or not it is a good or bad book. Other questions: What time of year is it? How much money is left? Are these functions to be separated from selection. "You have to marry all of these elements in the acquisition process." Bob Koester said the type of organization set out on page 71 would solve the problem. Keith Cottam, recalling that a library's ultimate goal is service, asked for a re-examination of more appropriate responsibilities, with clerical people doing the clerical tasks, removing them from the librarian's desk, freeing the librarian to do professional work. RWB said the trend toward two-and-a-half to three clerical & supporting to one professional may be more consequential in making professional positions more professional than any reorganization.

The pros and cons of faculty selection vs library selection resumed. RWB said his experience as an acquisition librarian indicated the use of materials was enhanced when faculty were involved in selection. That, he said, would be the model, the role of acquisition librarian evolved specifically as collection-development officer, with a coordinating role in selection by faculty, reference librarians, in fact any member of the library staff, and an on-going effort to stimulate faculty to select, with librarian stepping in where faculty (or others) failed to select. Olive asked that the statement include awareness of curricular changes, faculty and academic program. RWB said a specific proposal would be presented to heads at a regular heads meeting.

Keith Cottam asked for reactions to the concept of the report in other areas. Recommendation #4 (p. 59) dealing with independent reading collections and departmental libraries was questioned. The "bootleg" libraries are stocked with materials bought with departmental funds, not library allocations. The group agreed this area bears investigation, and the question will be on the agenda for a future meeting of the heads. Bob Harrison questioned Recommendation #5 (to include duplication services in Binding and Preservation).

Another meeting was set, not concerned with discussion of specific details, but with specific philosophy underlying the proposed reorganization. This was set for Monday afternoon, August 6, at 3:00 p.m. [UGL 104]. Heads may send a proxy and are asked to let RWB's office know. The group voted to invite task force members to attend the discussion of their report.

Staff who are not happy with the direction of the staff discussion group meetings may seek to change the direction by speaking up or asking that the original discussion topics decided upon be reviewed.

dht 8/6/73

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

MRAP HEADS' MEETING, 8/6/73, Room 104, Undergraduate Library, 3:30 p.m.
MINUTES

Organization II

The meeting was called to order at 3:30 p.m. with Richard W. Boss presiding. A brief announcement was made in regard to the distribution of MRAP Reaction Meeting minutes. Each department head shall receive a copy with extras provided to be circulated among the staff in his department.

The continuation of discussion on Organization was opened by RWB. Keith Cottam began by reading a statement that he had prepared, copy attached. In response to his observation that there is a considerable amount of duplication of efforts, Angie LeClercq said this was an amplification of service, not duplication. RWB observed that there is a difference between tasks performed twice and the same kind of work done in two different places. There appears to be no evidence of the former so discussion should focus on the latter.

The alternative reorganization approaches appear to be: (1) the MRAP proposal, (2) a major overhaul relying on the suggestions of MRAP, and (3) minor revision in the present organization. The overwhelming number of heads (15 of 24; 5 and 4 voted for the first and third) voted for the second alternative, a major overhaul relying on the suggestions of MRAP. It was, therefore, decided that each of the 30 recommendations (and, at Bob Koester's suggestion, the problems they attempt to solve) of the Task Force on Organization would be covered thoroughly in a third heads' meeting -- Organization III. It will be held after the Staff Meeting on Organization scheduled for September 4, 1973.

The meeting adjourned at 5:05 p.m.

Eileen M. Thornburg
Recording Secretary
August 9, 1973

STATEMENT FOR ARL HEAD'S MEETING, MONDAY, AUGUST 6, 3:30 p.m., UGL 104

From the outset of our discussions today it should be understood that the task force was working under the restrictions of time and limited expertise in matters of organization. The written report leaves something to be desired, and, undoubtedly, there have been found in the report questionable statements and poor use of words. However, the concept of organization projected by the report is far more important since it provides a different perspective from that which we now have. The concept is generally innovative for academic libraries but can be supported through the literature of business management as well as library science. It is much more than a shake-up in a pyramidal organization chart or the projection of a glorified hierarchy in that an emphasis is placed on the relationship of activities within the library system rather than on the further expansion of departmental functions. A focus has also been placed on the ultimate utilization of professional staff toward the development of service and clientele relationships.

There are undoubtedly flaws and inconsistencies in the proposed organization charts, but I consider them minor and correctable when considered in the context of the overall concept as described in the following comparisons.

The present UTK Libraries organization is generally bureaucratic in nature with formally organized departments and chains of command. The traditional dichotomy between technical processing and public service is fostered, and departments tend to be self-supporting, performing many functions that could more efficiently be handled through general staff services, e.g., accounting or library instruction. Further, the processing/service relationship tends to let "means" become "ends." For example, the processing goal has a tendency to become one of efficiency and the maintenance of systems and procedures, even though the patron is only concerned with getting an appropriate resource at the time it is needed.

There are, of course, advantages to the present system: it locates responsibility, directs communications, and assures coordination. On the other hand, in the general absence of flexibility, service standards can suffer, the intellectual aspects of librarianship are subordinated to rigid schedules and procedures, and the formal and informal organizational elements work against change and innovation.

The proposed organization emphasizes a service character with staff support, and even though the charts show a pyramidal structure throughout the organization, the report is intended to convey a line and staff relationship.

To further clarify this, I would like to read three brief paragraphs from the April, 1969, issue of the MEDICAL LIBRARY ASSOCIATION BULLETIN.

BEATRICE V. SIMON

made some general remarks about organizational planning which bear repeating at this point:

> All human organizations have three essential features. First, they have an objective—a result to be achieved. Second, there are people, the implements by which the organization get its work done and produces the results which are the reason for its existence. Third, there is the structure, the way the people are placed in working relationship with each other. For greatest effectiveness, both people and the structure of an organization must be well tuned to its objectives. The people will need to have whatever special skills are required, and the structure must bring the people together in a way which stimulates maximum use of those skills on the essentials of the job to be done. Proper structure provides for doing those things necessary to attain the objective, and at the same time, firmly excludes the doing of those things which are unnecessary.... While some kinds of organizations find it unnecessary to adjust their structural arrangements from time to time, and may for years have unaltered objectives, business organizations will neglect the matter of re-examining objectives and altering structures only at great peril (16).

Could it be that the reason why some libraries find themselves in a somewhat perilous position today is that *they* have neglected these matters?

In the early years of the twentieth century, when the standard techniques and practices of library science were being worked out, the chief objective of libraries was simply that of building a scholarly collection without much thought for the people who might be interested in using it. But today, and especially on this continent, the predetermined objective is, or should be, to provide the user with the *information* he needs, not merely by calling upon the resources of the library where the request is made, but by tapping all the other resources that may be available elsewhere. This change in emphasis in the purpose of libraries, their growing size and diversification of activities, and their increasing involvement with new technical methods and equipment—an involvement often requiring the addition of staff with specialized skills and knowledge—pose the question of a possible need for a new look at the organizational structure of libraries. Are we, in fact, grouping library activities in the best way in which to get the work done, or are we still blinded by our inability to distinguish between what is truly professional in our work and what is not?

Special libraries in business and industry have always been much more user oriented than any other type of library, and their total disregard, at times, for traditional library organization and practice has resulted in some of the most highly developed information services in existence today. Since World War II, the physical structure of university and college libraries, with their open stacks and easy access to the materials of information, has reflected a dynamic change in library architecture from the "storehouse" to the "user" point of view. But the possible need for an equally dynamic change in the work structure of libraries seems not to have been recognized generally.

Examined from the point of view that information service is the chief product of the library, could we not borrow the concept of line and staff from industry and divide the work-to-be-done in a library by placing all the activities concerned with the production of information, i.e., (reference and bibliographic services, subject analysis, and collection-building, in the position of line authority, and all supporting services such as purchasing, processing, reprography, and research and development (operations research) in the staff relationship along with personnel and financial management and other administrative services? Heads of these departments would report to the chief librarian or a deputy, and would have no line authority whatsoever, but their services would be available to everyone (Fig. 2).

Mary Lee Bundy, in a recent article, "Conflict in Libraries," proposes something very similar as a means of resolving the conflict that all too often exists in libraries between professional and nonprofessional staff (17). I suggest that librarians by studying some of the modern writing on organization structure—possibly Urwick's *Analysis of Organizations* (18)—might find the answer to some of those administrative problems which develop as a direct result of blindly following traditional patterns of library organization.

Before we leave the subject of organization structure, I would like to say a few words about organization charts. I believe in charts no matter how small the library. They serve a very useful purpose as the visual and symbolic

Medical Library Assoc. Bulletin.

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

OFFICE OF THE DIRECTOR

MRAP heads' discussion . . . Planning. . . 3:30 p.m., UGL 104, August 13, 1973

Dick Boss assured the heads that the MRAP staff meetings are open to them; he today received comments (one written) from staff questioning the absence of department heads at the 8:00 a.m. meeting; the consensus--staff are concerned that heads are indifferent to their opinions. They were reminded that some departments are too small to allow both heads and supporting staff to attend.

Tom Rogero asked for a definition of "Administrative Reporting Schedule." RWB said it goes back to a short-lived attempt by the University Administration to inform deans and directors of important events and dates well in advance. A calendar was issued once and has since been dropped. He hopes another such effort will be made.

Discussion of short- mid- and long-range plans revealed the study team's definition (short-range, 1 year; mid-range, 3 to 5 years; long-range, 5 years and up) and the fact that some planning falling within the time range of short- or mid- may actually be components of long-range planning. Although there are difficulties in long-range planning without a parallel plan from teaching and research or facilities development, it should not be deferred until such plans are ready. Planning "in a vacuum" and steps taken in search of institutional plans can cause reaction. Planning is needed for projected buildings long before their funding is a reality. Aubrey pointed out that we are committed to long-range planning in our purposes and objectives; RWB that we are doing informal long-range planning every day even though it has not been tagged as such. We need to formalize and systematize it.

In terms of mid-range planning, the heads affirmed they would like to have the opportunity in their next budget request to stipulate what they would like to have for the next year and the two succeeding fiscal years. For long-range planning, the great majority want to be involved in an architectural statement of program for a new main library and a new science-technology library.

Examples of formalized, written long-range library needs reports (compiled by other libraries) will be distributed to the department heads. The heads oppose venturing into long-range planning at this time; they favor mid-range planning.

Dick Boss left to honor another commitment; Mac Abel took the chair. George Shipman undertook to answer Eleanor Dempster's query on Recommendation 20: The ultimate responsibility is the director's; the analytical tables call for a coordinator of budget and planning, and "our immediate reaction was that we are not a Columbia or a Cal Berkeley. . . ." Currently, this person ought to be directly responsible to the director.

Distinguished Past
Dynamic Future

dht
7/14/73

175

1794/1969

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

MRAP STAFF MEETING, 8/13/73, Room 226-227, University Center, 8:00 a.m.
MINUTES

Staff Input Into Decision-making

The meeting was called to order at 8:05 a.m. with Richard W. Boss presiding. There were perhaps 65 people in attendance of which included administrative officers, members of the Study Team, four department heads, library faculty, and supporting staff.

DAVID STARTZELL, UGL Circ., raised the lack of staff input. He felt that the sources of the problem are staff apathy and distrust of supervisors. CHARLES LEWIS, Duplication, stated that he felt that his input is a futile attempt because he feels most decisions are already made. MARTHA RUDOLPH, UGL Circ., stated that there is not enough feedback from the Heads' Meetings of proposed decisions. STU GARRETT, Processing, stated that input is most effective before the Heads' Meetings.

MALCOLM BLOWERS, Main Reference, asked at what point does a decision become policy. RWB responded that a policy is usually effective a few days after a Heads' Meeting so there is time for reactions to come back and changes to be made. He stated that if the administration is made aware of criticism it will be given serious consideration. In regard to the "finality" of Heads' Meeting policy, he stressed the fact that nothing is "etched in stone."

One employee stated that tey was having a slight difference of opinion with ter department head. RWB stated that the person should talk with the head candidly first. If that doesn't work the appropriate division head should act as intermediary.

Full disclosure of the facts is necessary before decisions can be reached. With more facts you have more points of view. We hope heads will take time to discuss a situation and when there is a disagreement approach it objectively. "We will do our best to create a climate where everyone is being heard. I hope we share a mutual determination to do this."

MIKE MARTIN, Binding, asked at what levels of decision-making should staff be involved -- "When do we stop preaching and start meddling?" LYNNE MEACHAM, Processing, stated that any subject that you are an expert on you should be considered on. When any decision is made that pertains to staff it should be considered by the heads and staff.

DANUTA NITECKI, Interlibrary Loans, asked where the initiation of input lies. In some cases people who may not be directly involved may have a fresh viewpoint. When should a person take the initiative? MARTHA RUDOLPH, UGL Circ., stated that there are more opportunities for input in committees.

RWB had a number of reactions to staff input: (1) peoples' needs differ in regard to involvement. Some people have wider ranges of concern. (2) Most of the input we have had has been at the initiative of the people involved. It is not possible to contact everyone involved in some projects. Realistically, the initiative will probably remain with individuals. (3) With regard to the point at which we cut an individual off, we have had no problems of this sort, but at such a time that an individual becomes primarily an "in-putter" and not a typist, cataloger, page, reference librarian, etc., we'll talk with that person. He stated that most staff have an expressed interest in personnel policies. He stated that he would work to encourage and provide for better opportunities for feedback.

When RWB asked for some kinds of initiatives staff would like to see, LYNNE MEACHAM suggested a weekly departmental meeting to discuss problems of procedures with the feeling that consistency of procedures is very important. When asked how many departmental meetings were being held, MALCOLM BLOWERS stated that Main Reference had frequent meetings to air issues and the opportunity is such that other matters can be openly discussed. DAVID STARTZELL, UGL Circ., stated that his department has informal discussions usually with regard to circulation issues. LINDA CODDINGTON stated that in the Biology Branch Library she has an ideal situation for staff input since there are only two full-time staff members there.

BETTY SLOAN, Science Library, stated that there is such a sense of isolation in the branch libraries. FRANCES PAINTER, Processing, stated that she feels that as a new person she has been filed under "New Cataloger, No Experience." She said that she feels she is expected to go along with a certain set of behavior. She, therefore, feels isolated in this sense. There are three alternatives to the isolation problem: (1) DANA NITECKI, I.L.L., mentioned the departmental tours. (The Tours will begin on August 20.), (2) MARTHA RUDOLPH, UGL Circ., suggested committees, and (3) LYNNE MEACHAM, Processing, suggested the Library Staff Association.

DAVID STARTZELL, UGL Circ., suggested reorienting old employees so that they will know their contribution to the library as a whole and they'll understand what part they play in the Library System. RWB stated that orientation has been a high priority for the Personnel Office, but it hasn't gotten done. He stated that the Personnel Office is in a state of reorganization, but as soon as things are back in order, orientation will be given top priority again.

FLOSSIE WISE, I.L.L., suggested that a handbook for library employees is needed which would show the inter-relationship of the departments. SUSAN

GODFREY, Main Circ., stated that the Staff Association is working on a handbook for new employees. It was suggested by GWS that she consult with Eleanor Dempster in the development of the handbook.

Mac Abel stated that the Library Suggestion Box is a good way to get input from the staff and to learn its attitudes about various subjects. CAROLYN JOHNSON, UGL Circ., stated that she thought that the Suggestion Box was for the students. AMY VAN BRUNT, Main Reserve, said she would not like patrons to see some complaints posted on public bulletin boards. She suggested that these suggestions and responses be posted in the staff room. BILL WARD, UGL Non-Print Materials, asked if a number of things were weeded out of the box before responses were posted. Mac Abel stated the procedure followed in regard to the Suggestion Box: Phyliss McWilliams, his secretary, "robs" the Suggestion Boxes each week. They are all typed and three copies are made to be distributed to GWS, RWB, and GMA. They are discussed at the weekly Administrative Meeting. It is decided at these meetings who will answer certain suggestions and action is taken on them by those so appointed. GWS noted that sometimes it takes a bit longer to answer some suggestions when other departments on campus (i.e. Facilities Planning) become involved. JANICE KECK, Acquisitions, stated that through the Task Force on Organization she became aware of the number of questions employees had in regard to personnel policies. She suggested that these questions be answered in the Library News Notes. This will be done and a copy of it will be posted in the staff rooms.

There are a number of channels for staff input:

1. The Suggestion Box -- signed or unsigned
2. Talk with the department head
3. Write the department head
4. Write a memo to the Library Administration -- GWS, RWB, GMA
5. Come see a member of the Library Administration
6. Call a library administrator on the phone
7. Ask to be included in a group meeting scheduled regularly in RWB's office
8. Ask to have a special meeting set up with others with the same opinion or problem
9. Submit an agenda item for the Heads' Meeting
10. Raise your point at the Quarterly Staff Meeting

DAVID STARTZELL, UGL Circ., asked for RWB's preferred method of staff input. RWB responded by stating that he personally preferred people to write him a memo stating the problem, solution, and sign it. He stated that if more information is needed the person can be contacted when there is a signature. First try it at the departmental level. For library-wide problems send it directly to the Library Administration. With a memo something has to happen -- a piece of paper demands attention! Responding correspondence is in greater detail than a suggestion box paragraph response.

The meeting adjourned at 9:35 a.m.

Eileen M. Thornburg
Recording Secretary
8/15/73

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

OFFICE OF THE DIRECTOR

ARL/MRAP Heads meeting....Staff development.....August 16, 1973, 3:30 p.m. UGL
104

George Shipman reported that between-quarters special projects requests are heavy; they are being tabulated; written responses will be sent out next week.

Dick Boss asked if the heads consider the design and implementation of a staff development program a high priority. Some of the recommendations in this chapter have already been decided upon; what about the rest?

Angie LeClercq felt headway has been made; to continue and do more should be a #1 priority. "A good staff development program is crucial in keeping our excellent supporting staff members."

Dana Nitecki said about 75 or 80 people have responded to the tour program: "Some have definite questions, some are merely curious."

Eleanor Dempster said input from staff other than heads is needed in order to know how those people feel about staff development.

Mac Abel said perhaps 20 support staff are taking courses.

Eleanor asked for "reaction to consolidation of elements of staff development." Dick Boss asked her to attempt to put into a single written document all the staff development opportunities, like a college catalog. She will bring the consolidation to the regular heads meeting for reaction and study of opportunities presently available to library staff.

Olive Branch, task force member, described Recommendation 13 as an extension of the individual's opportunities beyond the information supplied in the proposed catalog of benefits: ". . . giving the individual the opportunity to do this for himself, and this was a way of encouraging that person to be a bit more aggressive in letting his own desires for individual development be known to the administration."

Dick Boss pointed out that asking staff to prepare the proposed annual plan for self development requires the active, enthusiastic involvement of heads.

Discussion on Recommendation 13 questioned the "structuring" of the action; the time element of the opportunities catalog (it will be a"status quo report"); the validity of the premise that the library has no staff development at this time ("We do have;

it just has not been compiled in one document"); what relationship and at what point this matter will be tied in with the study on in-library seminars, departmental tours, and would this not require a mini-seminar spreading over some time; would it not be an avenue leading to good supervisory positions; whether implementation of #13 might have a coersive effect; whether staff are interested in staff development; whether such staff can escape a penalty through failure to prepare individual plans; whether #13 could fail to become an element in evaluation.

To the statement that #13 could be one of the ways library faculty can learn how to advance in rank, RWB agreed but reminded the group of library faculty and heads meetings when the steps for advances in rank were spelled out and only two responded. We must not assume that merely informing will bring responses.

The discussion distinguished between formal listing of new year's resolutions and supervisory encouragement of outstanding staff. All agreed the library should put out some kind of catalog for staff information; all indicated they would like to go beyond mere information and undertake an actual program to encourage staff; but a minority would ask for a written plan.

Eleanor Dempster said 13 might be a good way to get staff to speak up, but not necessarily in writing; she thinks it needs to be done on a person-to-person, weekly basis, by the staff development officer.

Rick Surles foresees expectations of advancement where no advancement is available, should the individual in fact prepare a statement and comply with it. John Dobson said we would be encouraging overqualificatio. of personnel.

Dana Nitecki felt the discussion should distinguish between academic and nonacademic personnel; that neither should have to justify themselves every year; that the heads cannot assume nonprofessional staff are committed to library work.

Amy Van Brunt, task force member, said very many supportive staff are not interested in becoming librarians, but would like to know much more about wha' they are doing and the place they are working.

Dana said there should be respect given to those who "just want to work for the money."

A show of hands indicated none of those present thought staff development should apply to the present job alone, approximately 16 thought it should be for a potential job; two persons favored development of the individual more broadly than the job context.

Olive Branch, explaining the task force's intention, said, "The task force was very naive and tried to write into this chapter--not to confine it to any group of staff, not to confine it to any particular program, but to provide for the individual differences that exist within the staff. It was just a matter really of making known to the staff that the opportunity is there if he wants to take advantage of it, not ever anything mandatory or that the sky will fall on his head if he doesn't come up with it within the year."

A few people felt the library should actually seek to have people voluntarily make an annual plan or statement of objectives for the year. A majority voted to proceed on the basis of developing a catalog of opportunities and actively encouraging people to take advantage of them (one of which, K. Cottam said, should be #13).

RWB urged as many heads as can to attend the forthcoming staff meeting.

Because only recommendations 13 & 15 were discussed, RWB suggested a mopping-up operation after the third organization meeting for the things that have been neglected.

DHT
8-21-73

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

MRAP HEADS' MEETING, 8/21/73, Room 104, Undergraduate Library, 3:30 p.m.
MINUTES

Management Training

The meeting was called to order at 3:30 p.m. with Richard W. Boss presiding. A number of brief announcements were made: (1) The Monthly Heads' Meeting for August 22, 1973 has been rescheduled to August 28, 1973 at 3:00 p.m. (2) Interviews for the Undergraduate Reference vacancy will begin next Monday, August 27. A preliminary schedule and resumes have been distributed. (3) Steps are being taken to improve the security in areas of the Main Library following a break-in last night.

The subject of management training was opened for discussion by RWB. He asked who should be trained and what should that training be? Do we want to impart knowledge or to affect a change in attitudes? Chuck Schmidt stated that he would like managerial training for himself and for his subordinate supervisors in his department. Several heads agreed. A majority vote carried the motion for management training (the specifics of which had not been decided). When asked what kind of a training program, the unanimous vote was for emphasis on factual information and techniques. Suggested subjects for discussion were:

1. Communication Skills,
2. Consultative Management,
3. Motivation,
4. Correlation of Staff Input in Decision-Making,
5. Interviewing Skills,
6. Performance Evaluation Techniques, and
7. How to Delegate Authority and Exercise Appropriate Control.

When asked who these sessions should be directed to, Judy McQuade stated that it should depend on the subject involved. The heads unanimously voted for the initial thrust to be for the present supervisory personnel. The majority voted that participation by personnel directly affected by a topic should be mandatory.

RWB asked whether an attempt should be made to identify people in the community who would be skillful on certain subjects or to use skills from within the Library System. Chuck Schmidt suggested that as long as the person is appropriate for the subject it should not make any difference. Keith Cottam suggested using some University resources. Dana Nitecki suggested using skilled persons.

It was unanimously decided that the heads want a management training program created. Staff reaction will be sought in the MRAP Leadership and Supervision meeting.

Eileen M. Thornburg
Recording Secretary
August 22, 1973

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

MRAP STAFF MEETING, 8/23/73, Shiloh Room, University Center, 3:30 p.m.
MINUTES

Staff Development

The meeting was called to order at 3:30 p.m. with Richard W. Boss presiding. There were approximately 75 people in attendance of which included administrative officers, members of the Study Team, ten department heads, library faculty, and supporting staff.

****

RWB opened the discussion by asking that during the meeting some consideration be given to what should be the main thrust of staff development -- for present jobs, future jobs, or development of persons beyond their job interests. This topic drew considerable discussion from the heads in their recent meeting on 8/16/73. The majority vote of the heads was for developing staff for better future jobs.

STEVE HUMBLE, Main Circulation, asked why not develop the "whole" person and in this regard why can't we take six hours of undergraduate classes with waiver of fees? RWB responded that this university policy is undergoing a slow change. Theoretically the equalization of course benefits would cost the University System $400,000 whereas in all probability perhaps 10% (at a cost of about $40,000) would actually take advantage of the benefit. The Board of Deans and the Employee Relations Councillors are seeking a change. Staff input on the apparent discrepancies in the present policy and suggestions are encouraged. CHARLES LEWIS, Duplication, asked how many staff members participate in the course program. RWB stated to his knowledge not more than five people were taking undergraduate courses, another 10-15 graduate courses. He stated that part of this problem is that people in small departments feel that they can't get away from the department. LYNNE MEACHAM, Processing, stated that if a substantial percent of the staff is attending staff development programs a gap will develop in those departments with specific production rates. RWB stated that he has talked with a head of a department in this situation. "We will attempt to build a little flexibility in the department. When a 'leveling-off' of those planning to be involved in various programs of the staff development project is apparent, staffing can be planned with this in mind. Changes in student allocations and the increasing of present staff should offset this 'gap'." He stated that he is aware that some heads have tried to limit the taking of courses in their departments.

OLIVE BRANCH, Chairperson of the Task Force on Staff Development, stated she believes that the majority feel at this point they should concentrate on development of staff for future jobs in a broader sense than the library profession. EILEEN THORNBURG, Administration, stated that she feels that the present UT policy does limit an employee to the library profession indirectly by not allowing leave with pay for time needed to attend classes other than those directly job related. She said that she feels perhaps this is the reason for the small response in the number of actual requests for undergraduate courses. RWB assured her that "job related" was considered in its broadest sense at the administrative meeting when final decisions are made on the requests.

KATHLEEN CURTIS, Main Reference, stated that she feels that specific rules will have to be made on the number of persons who can be away from the office and who will have priority over whom. "Friction among colleagues will result if this isn't taken under consideration when the program is written."

BILL WARD, UGL Non-Print Materials, stated that he has seen no evidence of staff interest in development. RWB responded that the fact there is no documented evidence does not mean that there is no interest. A show of hands revealed strong interest by those present. DAVID STARTZELL, UGL Circulation, asked if the questionnaire the In-Service Seminar Committee sent out specifically explained what was meant by Staff Development. Perhaps this would have some bearing on the outcome of the questionnaire.

ANN MITCHELL, Main Reference, questioned the Task Force's recommendations 13 and 14. RWB said the idea of preparing an "annual plan for intellectual and professional development" was not accepted by the department heads because it had a mandatory ring to it. Ann said that she feels that one should let their supervisor know they do plan to take courses on a continuous basis.

OLIVE BRANCH, Chairperson of the Task Force on Staff Development, said that the Task Force used the manual as a guide. One part of the manual could be interpreted to write a program for the staff. The Task Force did not want to do this because the problem encompasses many areas and the length of time was limited. The Task Force found that there are many opportunities but no formal documentation of them. The Task Force thought it would be better to suggest a program for staff at all levels and the program committee should have representation from each. RWB said that Eleanor Dempster, Administrative Assistant for Personnel, has been asked to prepare a listing or catalog of the present opportunities available. This will be distributed to the staff as soon as it is available.

LYNNE MEACHAM, Processing, questioned the establishment of <u>two</u> committees whose charge should be to investigate academic and non-academic (respectively and separately) aspirations for staff development. (See page 85, second paragraph of MRAP). CHARLES LEWIS, Duplication, stated that

although the goals are different between academic and non-academic staff one committee could do this better in such a way that it would fit together better for the library as a whole. One committee could serve both. LYNNE MEACHAM, Processing, agreed, however she stated that she would not like the group to have too many members.

KATHLEEN CURTIS, Reference, stated that general development programs should not be too basic. AMY VAN BRUNT, Reserve, stated that no one wants programs "watered-down." She stated that the different degrees of librarianship should be taken into consideration in the planning stages.

RWB mentioned travel opportunities for clerical and supporting staff as an opportunity for staff development. He stated that there is no policy against this because no one has ever done it. GWS stated there is an "unwritten" policy on campus that this privilege is for professional staff. LYNNE MEACHAM, Processing, stated that professionals should have priority for out-of-town meetings. The majority felt that staff would be realistic in their requests. RWB stated that he will raise this at a heads' meeting and seek the Academic Vice Chancellor's approval before authorizing any travel for supporting staff.

There were a number of suggested subjects for the Staff Development Program: Classes, Publications, In-Service Seminars, Travel, Improving Work Environment, Library Supervision and Leadership Training, and Released Time for Research.

BOB KOESTER, UGL Reference Librarian, stated that he would like the Library Administration to address itself to page 85, paragraph 4 of the MRAP. He stated that released time for research is important for staff development for the library faculty. RWB stated that UTK does not grant sabbatical leave for faculty. In lieu of a sabbatical program they have a "mini" grant program (in which the individual applies for a few hundred dollars) and a "maxi" grant program (in which the individual devotes several weeks to a project and expenses and salary are included). Any faculty member can apply for a grant. Two faculty members from the library applied for a "mini" grant, and both received them. He stated that we could design a very good staff development program for the faculty using these opportunities. He does not know how much interest the professional staff has in these grants because so few have applied.

The majority voted that the main thrust of the Staff Development Program will be for future jobs, rather than for present jobs or for the person's non-job interests.

****

RWB announced that the next two staff meetings will be held in the Crest Room (#212 and 213) of the University Center. The meeting adjourned at 5:00 p.m.

Eileen M. Thornburg
Recording Secretary

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

MRAP STAFF MEETING, 8/28/73, Crest Room, University Center, 8:00 a.m.
MINUTES

Utilization of Staff Strengths

The meeting was called to order at 8:05 a.m. with Richard W. Boss presiding. There were approximately 40 people in attendance of which included three department heads, administrative officers, one member of the Task Force on Personnel, and supporting staff.

****

Major discussion ensued on Recommendation #16 of the Task Force on Personnel: "That better use of specialized skills of staff be made; that extra renumeration be given for special skill assignments where the task involved is beyond the level of the staff members' regular position; that the library personnel office should maintain a skill inventory to better alert department heads of special skills available." Among those skills mentioned were: language skills, artistic skills, equipment use, skill in subject matter of undergraduate major, supervisory skills, human relations skills, secretarial skills, and journalistic skills.

The skills inventory might be used (1) to identify persons who might be asked for help periodically and (2) to identify persons who might qualify for better positions. There is no present policy of renumeration for the use of specially skilled staff members according to RWB. JUDY WEBSTER, Member, Task Force on Personnel, wanted to know the procedures for bringing about a change in this policy. RWB responded that one would have to know the amount of use that would be made of such skills. If more than half-time, the job description could be changed; if very infrequent, there would be no basis for a salary adjustment. There may be a point in between these for which special provision should be made. A specific proposal would have to be worked out and presented to the University Administration.

RWB asked for a show of hands to see how many feel that the personnel office should assume the responsibility of identifying and maintaining the staff skills. The group was divided. The majority of those in attendance preferred writing their own inventory of skills. (NOTE: Library Personnel has been asked to develop a skills inventory card for staff reporting.)

MAC ABEL questioned the "...feasibility of a classification plan which clearly identifies avenues of career advancement for the UTK Library be investigated." (See Recommendation #14, page 89 of MRAP.) JUDY WEBSTER, Member, Task Force on Personnel, stated that from the questionnaire distributed to the staff many felt the avenues of advancement were not clear. The Task Force felt that career advancement opportunities should be known. Many staff members feel there are no possibilities. No clear way of identifying avenues of advancement was developed. Salary increases were mentioned. RWB responded that the wage guidelines have restricted salary increases in job advancements. Our Ex-Chancellor, Archie Dykes, felt strongly about merit increases and it is hoped that the new chancellor will also. He can have a very strong impact in this regard.

****

LYNNE MEACHAM, Processing, has asked that we change her statement in the Minutes of the Staff Meeting on Staff Development (page 3, paragraph 2) to read: "sought clarification of university policy on out-of-town travel for supporting staff." Those comments attributed to Kathleen Curtis, Reference, were actually made by Kathleen Phillips, Acquisitions -- I regret the misidentification.

The meeting adjourned at 9:40 a.m.

Eileen M. Thornburg
Recording Secretary

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

FFICE OF THE DIRECTOR

ARL/MRAP staff meeting. . . Leadership and Supervision

UT Center, 3:30 p.m., August 30, 1973

Dick Boss began the meeting by recalling that the staff had earlier decided to address itself to both (1) management style and (2) leadership or management training for supervisory personnel under the broad heading of leadership and supervision. He asked that people address themselves to either or both issues.

David Startzell (UGL Circulation) asked if the heads have discussed management training with regard to the supervisory personnel. The question was not resolved, Dick Boss stated, but the decision was made to develop a management training program and details would be presented to the heads and the staff for reactions. Participation will be determined by the nature of the topic under discussion, with attendance mandatory for those to whom the topic applies; the trainers will be chosen for their expertise, either from the library staff or outside people; the training program is intended for all supervisory personnel, whether heads, library faculty or supervisory assistants. Should Campus Personnel come up with any program of management training, the library's program will complement it rather than duplicate it.

Startzell said perhaps the library should take the initiative, extend its program to the University Administration so that that body might relate to the program and how it affects the library. Dick Boss said earlier meetings have recommended the library do more to influence the University. At the Deans' Retreat on September 5-6, a fairly detailed report on ARL/MRAP will be presented, and the staff will hear the reaction of the deans at the library's general staff meeting on September 7, along with other matters that came before the retreat--THEC, budget, the new chancellor, etc.

It was suggested that topics to be discussed at training sessions reflect the points of view of subordinates, and the subordinates in turn be made aware of the perspective of supervisors.

Suggestions on what leaders need to know and to do more effectively than they have been doing included techniques for job training and interviewing, orientation tours for new personnel, verbal rewards, delegation of authority, and improving communication.

nguished Past
amic Future

75

1794/1969

When asked if there are frustrations in his job, Dick Boss said there are. For nearly every staff member with an opinion there is a counterpart with an opposite view. We are trying to create an environment in which people with different points of view can live together. Problems must be approached with the interest of everybody in mind, or one problem solved will create another for somebody else. The rate of change or direction of change should be evolutionary rather than revolutionary.

Startzell asked if the supervisors have gained something from the management study. Olive Branch (Acquisition) replied she finds the meetings informative, a "good open forum."

Discussion on verbal rewards revealed apparent differing opinions. Doris Weinstein believes the "sandwich method" makes for good morale in office situations: compliments on what they are doing well and at the same time criticism for what they are not doing well.

Louise Royal (Main Circulation) thinks compliments should follow a hard job done well.

The consensus, after much give and take, seemed to be "the truth, not phony baloney," and treatment as adults and human beings.

Amy Van Brunt would like to see supervisors and heads examine authority and delegation of authority. Stuart Garrett questioned the size of a group for effective supervision. Ms Lingle (UGL Circulation) responded that the creation of unit supervision in UGL has made a big difference in reporting and results.

Rick Carey (Main Circulation) asked how to set reasonable work expectations, whether they are objective or subjective. Dick Boss said he assumes there are both quantative and qualitative aspects to the work. Lynne Meacham said one wants to be able to measure for improvement. It was decided this should be a leadership training topic.

To RWB's question if the leadership style of every department head and every supervisor in the library should be the same, Charles Lewis (Duplication) said it would be impractical, for the goals of every department would vary, and the same management techniques could not be successful. Kathleen Phillips (Acquisition) thought management training and leadership training are being used interchangably and a distinction should be made.

Amy Van Brunt (Main Reserve) sees the need for distinguishing between management and department routines. She would like to see the library hire supervisors and train supervisors who are committed to particular goals of management, and would hope that people of supervisory capacities would treat their people with the same respect all over the library.

Frances Painter, Main Processing, asked why library staff members are required to submit 5 references in applying for an opening, when outside applicants submit 3 or 4.

RWB said all people are asked to submit five references, and internal candidates should submit some from outside the library. The wrong phrasing (five outside references) was used once and was quoted in the ARL study. The policy for five references was made by the library administration. We attempt to put external and internal candidates on exactly the same basis.

RWB noted that the next MRAP staff meeting on September 4 is a most important one and urged the staff to attend.

DHT
9/3/73

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

MRAP STAFF MEETING, 9/4/73, Crest Room, University Center, 3:30 p.m.
MINUTES

Organization

The meeting was called to order at 3:35 p.m. with Richard W. Boss presiding. There were approximately 54 people in attendance which included two administrative officers, three members of the Task Force on Organization, nine department heads, library faculty, and supporting staff.

RWB announced that two library staff members have requested that a tape recording be made of today's meeting since they will not be able to attend. The majority of those present voted their approval. (NOTE: The quality of the tape recording was very poor. It was not distributed.)

RWB stated that he would be leaving the meeting early and recommended David Startzell (UGL Circulation) as presiding officer because of his sincere interest and thorough study of the MRAP report. The majority agreed.

****

In regard to David Startzell's question of duplication of functions, RWB responded that there is a difference between tasks performed twice and the same kind of work done in two different places. There appears to be no evidence sighted of the former and discussion should focus on the latter. He sighted bibliographic searching as an example. "Before we make a decision to pull work together that is being done two places instead of one, we certainly ought to look at what benefits would accrue and what the disadvantages would be."

David Startzell asked for a show of hands to see if staff interests are in reorganization -- the majority voted for reorganization. David asked the group "Why do you feel that we should reorganize? What are some reasons behind your vote?" Dana Nitecki (I.L.L. Librarian) stated that the underlying question is whether we are talking about the reorganization of small units of the Library System or the Library as a whole. She asked if the staff have a more definite interest in the small unit reorganization. David, therefore, asked for a show of hands to clarify this point. The majority were primarily interested in reorganization of the Library as a whole. Four people showed primary interest in small unit reorganization.

Angie LeClercq (Non-Print Materials Librarian) stated that reorganization at the Undergraduate Library has been beneficial, but "I don't know if this would work in other branches and departments in terms of the Library as a service organization."

David Startzell said that reorganization represented to him an opportunity for greater utilization of staff strengths and specialties and potential for staff development.

Gary Scales (Acquisitions, Serials Librarian) stated his interests are similar and that some aspects of the reorganization plan would need little modification. He thinks the plan provides (1) means for additional staff development, (2) greater delegation of responsibility in departments, and (3) provides a flexibility to meet future changes as necessary. Dana Nitecki (I.L.L. Librarian) question Gary. "Where does the responsibility lie if tasks split up among the departments -- can we operate with a horizontal authority?" Gary answered that he did not know at how many levels this could be done effectively. Mary Jane Sharp, Chairperson, Task Force on Organization, said the Task Force did not want to draw lines, it did not want to be formal. This type of reorganization would need a great deal of cooperation. Keith Cottam (UGL Admin.) said that the Task Force made no attempt to put people in to the report. This report and suggested reorganization is a concept that may be applied to a broader library situation. It is possible that certain activities can be grouped in a staff office and would report to an associate director which is basically not too different. Gary reminded Keith that the present people employed by the library will have to be considered in the reorganization plans.

Lynne Meacham (Processing) asked if the present organization was flexible enough for its important role in university development. She asked what the Library's representation is at the colleges. Bob Koester (UGL Reference Librarian) stated that Mary Francis Crawford is the formal representative from the Library to the College of Home Economics. Olive Branch (Acquisition Librarian) said that three committees meet from the College of Liberal Arts in which a library staff member attends informally: Humanities - Olive Branch, Social Sciences - Bob Bassett, and Sciences - Don Jett. This represenation "will continue and intensify" according to Ms. Branch. Kathleen Phillips (Main Reference) said that, in regard to the relationship of the Library to the UT campus in collection development, the departments select their own materials and Reference strengthens the subject. In reference to other library employees halping students with minor reference questions, she said this would separate the reference librarians from the walk-in public. She said we need good employees to direct people to the Reference Department. In regard to subject specialists, the need makes its appearance first, however, we must keep campus needs in mind. David Startzell asked Kathleen if she preferred to see this process continue rather than planning ahead. Kathleen answered that it depended on the trends.

Dana Nitecki (I.L.L. Librarian) asked if reorganization is the answer for temporary job assignments and the effectiveness of horizontal direction of communications. Dana asked David how he sees a change in his job. He stated that he would like to see broader job classifications and responsibilities

in the service sense. He said that perhaps some duties would shift downward. Both he and Martha Rudolph (UGL Circulation) stated the need for a library instruction department (See Recommendations 3, 8, and 15 of MRAP, p.59).

Mary Jane Sharp, Chairperson, Task Force on Organization, stated that there were many other proposed plans for reorganization that perhaps some people would be interested in. These are available in both Main Reserve and UGL Reserve. There are three complete sets of materials on the MRAP available at each location. Mary asked Judy Webster (Main Reserve) if there had been much of a demand for the materials, and it seems there has not.

The alternative reorganization approaches appear to be: (1) the MRAP proposal, (2) a major overhaul relying on the suggestions of MRAP, and (3) minor revision in the present organization. The overwhelming number of staff in attendance at the meeting voted for the second alternative. (One person voted for the first, 26 people voted for the second, and four voted for the third.)

****

David Startzell said that he hoped that the spirit of MRAP would continue even though this is the last Staff Reaction Meeting on the MRAP report. He asked for staff suggestions for providing some system whereby we might monitor the progress of the MRAP (i.e. a periodic progress report from RWB) from this point forward. There was no response.

Eileen Thornburg (Administration) stated her disappointment that there had not been more staff reaction to the report. She added that the meetings <u>should</u> have been the perfect medium for staff input into decision-making, however, there was poor response in attendance, verbal reactions, and apparent interest. To attempt to clarify how "the staff" as a whole feels about many important issues that have been discussed has been very difficult with the minimal response. "These meetings were great opportunities in which to be heard. I'm really disappointed that more people didn't take advantage of them."

David Startzell
Presiding pro tem

Eileen Thornburg
Recording Secretary

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

MRAP HEADS' MEETING, 10/2/73, Room 104, Undergraduate Library, 3:30 p.m.
MINUTES

Organization III

As a result of these meetings and discussions, the Administration will formulate a formal response, hopefully by the end of October. R. W. Boss stated that there may be future MRAP meetings, but this response will be on what has been discussed to date. Recommendations for the implementation will follow. "We will be involved in this implementation throughout the year. We can then pick up any pieces left unattended."

The Study Team will not be involved in the implementation process. The ARL Management Studies Office made the recommendation that the team be responsible for implementation after the charge was made to the committee. The original understanding was that implementation would remain at the department head and Administration levels. UTK will follow the original plan.

****

The heads decided to go through the list of recommendations on organization seriatim. RWB suggested that the Study Team help to clarify those recommendations and the group bypass those recommendations which are redundant.

Recommendation #1. "Greater involvement of the UTK Library Administration in overall UTK planning process." Keith Cottam moved that we move on to the next recommendation because this subject has been covered quite extensively in other MRAP meetings. Agreed.

Recommendation #2. "Library development should be planned rather than geared to meeting emergency type demands." It was agreed that this should have read "Library programs," however, discussion ensued pertaining to library development and planning. At one time John Hodges served a role similar to library development officer, which Mary Jane Sharp mentioned as a suggestion of the Task Force. Bob Harrison said that we are still getting money that Dr. Hodges had raised. Angie LeClercq stated that she did not feel that it would have to take anyone's full time, but feels that public relations would be a very valuable source of funds. Rick Surles asked if there are any University restrictions to our private fund-raising. R. W. Boss stated that

we would have to work with the University Development Office in this regard. We have requested in writing that Library development be included as a priority in their program. Keith Cottam mentioned that not all gifts are in dollars and cents. Many diaries, journals, and manuscripts could be donated. The majority feel that collecting efforts of some kind (in addition to Friends of the Library) should be implemented.

With the great emphasis on planning, R. W. Boss asked if some office should be assigned the job or if everyone should be involved. Angie LeClercq stated that the heads would be a probable "focal point." Mary Frances Crawford, sitting in for Bob Koester, asked if the responsibility shouldn't be with the "chief executive officer." R. W. Boss answered that he would have to delegate the responsibility somewhere within the administrative offices. Eleanor Dempster suggested that an associate director do the job and in the recruitment of associate directors that strength would be a valuable quality. Chuck Schmidt said he felt that the most economical way would be to give the assignment to someone already on the staff, and by way of the "domino effect" hire an additional clerk instead of an additional administrative professional. Olive Branch feels we definitely need a central office involvement in planning -- at this particular point in the growth of the library she does not see the need for a planning officer but the need for planning to be located in the office of one person. In response to a question, R. W. Boss cited the examples of developing guidelines for preparing a budget, assisting department heads in their mid-range plans, and giving appropriate figures in space management and utilization formulas as possible responsibilities of a planning officer. He stated that he concurred with Olive Branch, the Study Team, and the Task Force on Organization that we cannot at this time appoint a new person to the administrative staff. The majority agreed that this should be a part-time assignment.

Recommendation #3. "Creation of a 'library instruction' department, free from on-line problems and administrative detail, to actively work with faculty and students." Mary Jane Sharp stated that the Task Force felt that library instruction should be a library-wide function and not just another reference responsibility so as not to overload the Reference Department. R. W. Boss asked for a feel of opinion -- the majority favored a library instruction program, but there was an even division on whether a separate department should be established. Recommendation #8: "Create a library instruction department to actively initiate contacts with faculty and publize library services," and Recommendation #15: "A library instruction department should be established" repeated #3.

Recommendation #4. "Effort should continue to discourage independent reading collections and departmental libraries and steps taken to incorporate existing ones into UTK Libraries whenever practicable." R. W. Boss stated that we have been asked to assume responsibility for the map collection of the Geology and Geography Departments. He has spoken with Garry Bice of the

Research Coordinating Unit for Vocational Studies who has approached us about using the better of the two microfiche copies of the ERIC Collection. They'd like to give one copy of some categories to the Main Library. The Dean of the School of Architecture would like to eliminate his school's collection. The College of Communications has sought our help to limit their collection to ready reference and current periodicals. If there are others, please bring them to our attention so that we may work with the people involved. LaNelle Vandiver mentioned the Psychological Service Center; R. W. Boss said he will check into this.

Recommendation #5. "Reorganize structure of technical services and auxiliary services." The recommendation was to combine Duplication and the Binding and Preservation Departments, and the rest of Auxiliary Services will be known as Facilities Maintenance. Bob Harrison reminded the Study Team that the Microfilm services would be involved here -- not only duplication. Dana Nitecki stated that the Duplication Department serves a dual purpose in that it is also a public service. LaNelle Vandiver stated that she would hate to see the Duplication Department leave Bob Harrison's supervision -- "We need Bob's expertise." R. W. Boss asked for a show of hands:
How many would like to see Duplication and Binding merge (0), the present arrangement (14), or independent status for each (6).

The Technical Services headship would be on the same level as Administrative and Public Services. Chuck Schmidt suggested that R. W. Boss compose a list of the advantages and disadvantages of a third Associate Director for review by the heads.

Recommendation #13. "Organization of individual departments should be studied so that they may be organized in the most efficient way." Mary Jane Sharp stated that the Study Team feels that individual attention is important in departmental organization.

Recommendation #16. "Names of library units should be examined and defined so that their meaning is clear and understandable." Some examples cited were Special Collections and Reserve.

Recommendation #25. "Establish similar titles for administrators with similar duties." Mary Jane Sharp said that there was only one official "Department Head" however we have "heads'" meetings.

R. W. Boss asked that any more discussion on these recommendations be submitted to him in writing.

****

The meeting adjourned at 5:15 p.m.

Eileen M. Thornburg
Recording Secretary

SECTION 3. Admin. Reaction

ARL/MRAP.....Library Administration Reaction

The UTK Library Administration is in general agreement with the recommendations of the MRAP Study Team and Task Forces and is committed to a program of implementation spread out over a period of three years.

Major changes will be presented to the department heads in the same manner as the reports of other committees. Minor changes will be initiated through administrative memoranda or verbal requests.

The following have already been undertaken:

(1) A Library Policy Manual has been assembled and distributed.

(2) The department heads have adopted as an objective the development of a consultative management style, one that features substantial disclosure and a general pattern of consultation in decision making.

(3) A reorganization of Technical Services has been started, providing for an Associate Director for Technical Services and four departments: Monographs Order, Serials Order, Cataloging and Preparation.

(4) The creation of the position of Collection Development Librarian has been announced.

(5) Department heads have endorsed a staff development program stressing development for both current and prospective positions.

(6) The position of Administrative Assistant for Personnel has been upgraded to Staff Development Librarian and the supporting staff has been enlarged.

(7) In-service Training and Departmental Visits Committees have conducted experimental programs, the results have been evaluated, and the Staff Development Librarian has been charged with the responsibility of conducting departmental visits and in-service training seminars on a regular basis beginning in early 1974.

(8) A catalog of staff development opportunities has been prepared and will be distributed within 6 weeks.

(9) A Library Publications Committee has been established.

(ARL/MRAP. . . Library Administration Reaction)

(10) Endorsement of an ex-officio appointment of the Director to the Undergraduate Council has been obtained from the Undergraduate Council and the Faculty Senate By-Laws Committee.

(11) After three years of vigorous campaigning the UTK Library has seen one of its major goals realized: the Tennessee Higher Education Commission has appointed a committee to study the library funding formula; the UTK Director has been designated as a member.

(12) Departmental objectives have been prepared and reviewed. Departmental goals are in preparation.

(13) The department heads have endorsed the move to mid-range planning. The first step will be the preparation of a three year budget request. The Associate Director for Administrative Services has been charged with planning coordination.

(14) Agenda items for the meetings of department heads are now briefly described and an extra copy is being provided for posting in each department.

(15) Suggestion box input that deals with internal matters are being answered in the News Notes.

(16) The department heads have endorsed a training program for supervisory personnel that would be mandatory for those for whom the specific topic would be relevant. The program will be started in mid-1974, after the departmental visits and in-service training programs have been launched.

(17) The department heads have endorsed a "skills inventory." A form is being designed. The collection of data will take place in early 1974.

(18) Subject specialization has been initiated for reference departments and branch libraries. It will normally be required of new appointments and be encouraged for present staff.

(19) Annual faculty activity forms have been distributed to facilitate the updating of personnel files.

(20) A policy has been drafted clarifying the rules of access to personnel files. Individuals shall have the right to consult their own files.

(ARL/MRAP... Library Administration Reaction)

The Library Administration specifically disagrees with the following recommendations:

(1) That the Director of Libraries be designated an officer of the general UTK Administration.

The important thing is the role of the UTK Library in the campus-wide decision-making process. Membership on the Board of Deans is currently provided. The meetings are now primarily used for the exchange of information. That group needs to become more influential. The working relationship with the deans is more effective if the Director of Libraries has the status of a dean than the status of a general administrator. Membership on the Graduate and Undergraduate Councils is being sought.

(2) That formal long-range planning be developed.

As suggested by the Study Team, short-range planning must be formalized and mid-range planning developed before long-range planning can be considered.

(3) That appropriate individual staff members be consulted for advice and counsel before library policies are implemented.

The Library Administration will seek to announce planned policies to the staff at large before they become effective. It will consult some individuals who may be able to contribute to their formulation, but cannot assure that all interested persons will be contacted individually. The individual should take the initiative if he/she wishes to express an opinion.

(4) That the group designated as the Library faculty be afforded the opportunity to react to the budget during its formative stage.

Library faculty should be consulted in the formulation of the departmental budget and should be able to react to the Library budget, but not as an entire faculty. The appropriate forums are staff meetings, departmental meetings and individual written responses.

(ARL/MRAP... Library Administration Reaction)

(5) That performance standards be developed.

It is premature to consider the development of standards until objectives and goals have been developed for the Library and for individual departments. Performance standards may be required. If so, it may well take more than three years to develop and implement them.

(6) That minutes of the regularly scheduled Administrative Group meetings be distributed to all staff.

"Minutes" are not always the most appropriate output. The results of Administrative Group meetings are Department Heads Meeting agenda items, memoranda to heads and staff, News-Notes announcements, suggestion box responses, etc.

(7) That the budget officer be made responsible for all centralized information concerning financial accounting and control.

Information should be compiled and distributed by those close to the work and made available to those who will use it. The Business Manager's role is a staff role set up to provide assistance in designing and evaluating the system, not to compile and distribut e data.

(8) That a "library instruction department" be created.

Instruction in library use is a function of all public service units, especially of reference units. The Associate Director for Publice Services is charged with coordination.

(9) That orientation and information points be set up, particularly at the Main Library.

Budget constraints preclude the establishment of additional service points solely to orient patrons. An effort will be made to improve graphics to get patrons to the appropriate existing units.

(ARL/MRAP... Library Administration Reaction)

(10) That released time be provided for individual pursuit of research, writing, consulting.

This appears to propose an extension of present benefits. Released time is already provided for research and writing that meets Library needs. Proposals may be submitted through department heads. Released time for personal projects that don't benefit the Library must be done on one's own time. Leave without pay may be granted. University research grants may be sought for such projects. Consultation leave is provided under an existing university policy. No case has been made for an extension of those benefits.

(11) That Library Administration encourage present staff to apply for supervisory openings before recruiting outside applicants.

The UTK Library's policy is to obtain the very best possible person available. Internal and external candidates are put on the same footing. If the internal candidates are superior, they should advance into the supervisory positions.

There is some question that the proposed change is legal. Restrictive recruiting may, in the opinion of the University's legal counsel, violate provisions of various state and federal equal opportunity statutes.

(12) That Public Services and Technical Services heads meet with their respective administrators on occasion to discuss matters of interest and that these not be deliberated at Department Heads Meetings.

Such meetings would be desirable, but they should be reported at Department Heads Meetings so no rigid compartmentalization of the Library occurs.

(ARL/MRAP... Library Administration Reaction)

(13) That the Staff Association be encouraged to develop into a stronger body with more diverse interests that could possibly serve as a vehicle for staff participation in determining objectives, goals and compensation plans.

The objectives of the Staff Association ought to complement those of the Library, not duplicate them. The Library's organization is being improved to provide participation through the departments and special committees. Is a separate organization necessary?

(14) That the Associate Director of Libraries for Administrative Services be given full responsibility for the personnel function.

Only Library faculty recruitment is not part of the charge to Administrative Services. It is an essential element in the Director's job description. Every effort will be made to involve others more, however, including the Associate Director for Administrative Services.

(15) The department heads have recommended against the consolidation of Binding and Duplication as they are quite different activities and they are both growing rapidly. The Library Administration concurs.

This is obviously not a complete response to the MRAP Study. The "response" will be the actions of the Library Administration over the next three years rather than a brief document designed to inform staff.

Positive action, consistent with the philosophy of the MRAP Report, will be taken on the recommendations not mentioned in this reaction. The commitment is to the philosophy of the Report, not to the specific solutions proposed, however.

Reactions are invited. A staff meeting will be held January 4, 1974, for this purpose.